Shivkant Tiwari (CAMS)

Mobile: +919886378818/+919731448818
Hinjewadi Phase 3, Pune, 411057 (India)
E-mail:shivkanttiwari85@gmail.com

Profile: -

An Anti-Money Laundering (AML) specialist with practical knowledge of regulatory and legal reporting, having worked in a similar capacity within Investment Bank and Private Banks in the UK and overseas. I have a strong understanding of the Sanctions Regime and extensive knowledge of high-profile investigations in relation to Counter Terrorism Financing and AML. Region -EMEA, APAC, HK, SG, GB, US, AU. All over Experience almost 7 years.

As Manage a team of approx. 20 to directs the workforce in problem identification, problem solving and implementing continuous improvement measures Develop, maintain, trend and report Key Performance Indicators ensure that all key metrics of performance as per the Client SLA are met and exceeded.

Skills / Knowledge:-

- Foster and champion High-Performance Culture where people are empowered to make decisions that affect their work/environment.
- Selection, performance management, and overall development of employees within their assigned team.
- Strong Subject Matter Expert (SME)
- Ability to demonstrate effective performance in problem solving, decision making, building relationships, developing self and staff, planning and organizing, and managing through others.
- Experience of driving KPIs SLA and identifying areas for performance improvement
- Strong analytical skills with good attention to detail
- Manage team calibration with Quality Control (QC) to close the feedback loop on quality checked records and make corrections to KYC record.
- Internal Audit, Project Management, Policy drafting, Procedural Review, Financial Reporting, Advisory supporting guidance, Operational risk management, Stakeholder management, Team Leadership, Talent Development, AML,CFT& KYC Operations, Regulatory Compliance.
- Manage calibration with Utility for case scheduling and hand-offs to KYC Analyst teams.

Systems used:-

- ✓ Experienced in the use of Microsoft Office (MS Excel, MS Word, MS Outlook, PowerPoint, VLOOKUP, XML SAP)

Experienced in the use of CDD/EDD tools such as:

- World check
- Fircosoft.
- LexisNexis, Factiva (for adverse media reports)
- PCR (Norkom application - Preventative Crime Research)
- RDC (Regulatory Data Corp)
- Bankers Almanac
- Swift Registry
- SAR
- Actimize (Nice)
- Thomson Reuters – (Database)
- Netreveal SAS Mantas – (US, UK, Ukraine, India, and Singapore)
- CRB (Customer Research Borrowers)

Employment History:-

24th May 2021 till date

IBM | (Senior Business Analyst QA)- Risk and Compliance

- Experienced in managing teams of up to 20 FTE.
- Day to Day management of a team of KYC Analysts including:
- Team and individual performance.
- Maintaining quality of work.
- Allocation of work and resources.
- Training and coaching and development of KYC Analysts.
- Provide subject matter expertise to the KYC analysts in gathering data and supporting documents regarding clients from a range of independent data sources.
- Support the KYC Analysts to identify data and documentation gaps and coach them on researching accordingly.
- Support the KYC Analysts to validate the clients' KYC risk profile and raising any points of concern, such as negative news.
- Liaise with other teams as necessary as part of the KYC renewal process, including the Quality Control (QC) team.
- Respond to feedback provided and re-work cases as required, based on feedback from QC.
- Act as an escalation point for issues that may require Compliance and other relevant parties
- Monitor and track outstanding cases to make sure cases are completed within set target dates, escalating where appropriate to the client team.
- Follow global standard policies, procedures and tools.
- Adhere to agreed targets, KPIs, SLAs and confidentiality standards. Regularly report information that illustrates the overall performance of the organization in terms of risk mitigation.
- Ability to be highly flexible and react swiftly to changing priorities and urgent situation
- Process improvement and efficiency.
- Willing to occasionally attend conference call meetings outside normal business hours.

Aug 2018 to May 2021

Deutsche Bank Group | (Senior SME Operator) All Regulatory end to end review KYC

- Primary escalation points for clients, responsible for client satisfaction, overall client management and delivery of client solutions
- Responsible for the design and roll-out of a customer risk scoring matrix and Sourcing information via KYC tools to perform corporate screening.
- Completed analysis of transactional information to identify risk, trends and potential wary activity.
- Performed the required KYC screenings on customers documenting the information obtained on the client's as required by global KYC procedures.
- Ensuring compliance with all AML laws, regulations, guidelines, written procedures; OFAC, CIP, KYC, customer/transaction monitoring Maintaining with senior advisors.
- Maintaining overview with AFC, Business regulation and management Production submitting and Lending corporate - ACO, MiFID and all escalations.

Significant Controlling:-

- Instrumental in Developing and Implementing Automated Risk Assessments Tools saving man-hours per week and providing 25% accuracy.
- Providing regulatory advisory support and review across all financial operation (Including new product and service launch) reporting to the Regional Regulators Compliance
- Assist in financial and operational audit, reviewing annual budgeting, governance and forecasting, and conducting risk evaluations.
- Design, Implement and supporting mitigation program, improving risk oversight control.
- Led the design and Implementation (Including vendor selection and review) of new in

house Common Report Standards (CRC) reporting system, spanning 11 departments eliminating outsourcing.

- Conducted 2 half-yearly AML/CFT focused training session presenting 15 participants and building Team knowledge base on compliance and regulators.
- Formalized enterprise policy (Know Your Customer (KYC), Customer Identification Program (CIP)) to ensure systems and processes meet regulatory requirements.

March-2017 to Aug 2018

Mphasis LTD | (Senior Analyst CDD) Product/Business: Infrastructure business service

- Recruitment and management of a team of KYC analysts to work on a global CDD remediation program.
- Identifying team members' strengths and weaknesses in-order to clarify training requirements (Skills Matrix) in order to meet productivity and quality targets.
- Allocation of workload to each analyst depending on their skills and knowledge; supporting with ad-hoc issues and reallocating resources in order to meet daily targets and maintain high productively levels
- Training and developing a highly motivated team, to drive high performance in individuals
- Act as a point of contact for the business regarding AML KYC policy and process related questions
- Assist in identifying systemic procedural weaknesses and additional training requirements for team members
- Act as an AML subject matter expert, providing direction and guidance to analysts on appropriate remediation action
- Perform comprehensive EDD reviews of correspondent banks,
- Working closely with Senior Relationship Managers (SRMs) to ensure the delivery of EDD reviews within agreed time frames
- Advising on KYC Assurance matters related to the risk review process
- Serving as the escalation point for KYC Assurance related issues from the SRMs and EVB. Performing four eye reviews (QA) of other team members files
- Systems used, Dow Jones, Factiva, Swift Analytics, Bankers Almanac and Swift Registry.

Trainer/Auditor/Team coordinator: -

- Train the new joiners in the process through the standard Training Methodology
- Prepare training material, learning curves and set achievable targets.
- Provide constructive feedback and highlight repeat offenders, under-performers.
- Audit all free format letters sent to the customers to ensure all letters are drafted and sent as per the data.
- Standards set by Data Protection act and the audit requirements.
- Ensure constructive feedback mechanism is followed while mentoring trainees.
- Maintained Quality Tracker sheet for all Trainees that helped in improvising & raising the Quality Standards
- Prepare daily / weekly / monthly capacity plan for the team by assessing the forecasted volumes against the available work force.
- Queue Management to ensure completion of work within the specified SLA with maximum productivity and quality. Record the daily progress of the staffs and highlight good and under performance to management.
- Promote teamwork and highlight individual achievements.

July 2014 to February 2017

Altisource Business Solution Pvt Ltd | (KYC - Associate) AML/KYC Units

- PEP and sanctions screening on new and existing customers / entities to evaluate PEP, sanctions and AML risks
- Transaction monitoring and Suspicious Activity Reporting
- Rectify the impact of any customer detriment (remediation and / or redress)
- Identify data and documentation gaps and remediation accordingly
- Review and approval of KYC documentation, information, research and Due Diligence for high-risk customers / entities
- Part of a specialist remediation team responsible for reviewing the PEP and Sanctioned Foreign Nationals population culminating in the development and roll out of an EDD process across Lloyd Retail Banking Group

- Production and submission of comprehensive PEP files, ensuring Enhanced Due Diligence requirements are met
- Summarizing the rational for maintaining or exiting the relationship
- Providing MI to prove the effectiveness of EDD standards, KPIs, SLAs and confidentiality standards.
- Managing a team responsible for assessing the suitability, afford-ability and overall standards of new business submitted through the branch network
- Comparing sales records and suitability letters against both internal standards and regulatory requirements
- Providing feedback to the field and management as necessary
- Production, analysis and presentation of MI to ensure the team were meeting KPIs

Educational Details : -

- ❖ PGDBA -(International Finance) April 2016 - SIBM Bangalore – Distance Learning Symbiosis University (Pune)
- ❖ M.A. (Business Economics) July 2012 - Government Post graduate college Guna (M.P.)
- ❖ B. Com (Commerce) June 2010 - Government Post graduate college Guna (M.P.) Class XII April 2006 Shard Vidhya Niketan Guna - MPBSE
- ❖ Class X April 2004 Sharda Vidhya Niketan Guna - MPBSE

Professional Qualifications :-

- ✓ (CRC) - Compliance Risk Concepts - 2013
- ✓ (ACAMS) - The Association of Certified Anti-Money Laundering Specialists (Google Digital Unlocked) - The Fundamentals Digital Marketing
- ✓ (Amity Future Academy) – Introduction to Product Management

Confident communicator: -

With language skills in English, Hindi, Urdu, Kannada and Tamil

Extra-Curricular Activities :-

- School Head Boy in 12th standard
- Group Leader in 10th standard
- Won many prizes in Cultural Competitions at School level
- Deutsche Bank R&R
- Training Coordinator of ‘ICSI at The institute of company secretaries, Indore.

Personal Details: -

Date of Birth	- 03 May 1989
Gender	- Male
Marriage	- Married
Permanent Address	- K/5 New Police Line Cantt Road Guna (Madhya Pradesh) - 473001
Nationality	- Indian
Passport	- Yes
Visa	- B1&B2 (USA)

Declaration: -

I hereby declare that all the statements made in this application are true and complete to the best of my knowledge and nothing has been concealed / distorted.

Place: Pune (Maharashtra) **(Shivkant Tiwari)**

Date: