



NATWEST MARKETS PLC

SENIOR MANAGER

OBJECTIVE

To be a part of a vibrant and growing company offering a hi-tech, innovative and motivating work environment enabling me to utilize my functional experience and constantly upgrading my knowledge and skills to the latest trends of the service industry; to acquire international exposure in my field of financial operations.

SKILLS & ABILITIES

- Team Player
- Commitment & Passion
- Positive Attitude
- Diligent & Hardworking
- Focused & Goal Oriented

VITALS

408, B-Wing E-4, Highway Park,
Thakur Complex, Kandivili (East),
Mumbai-400 101

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EXPERIENCE

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AUG 2006-PRESENT

Senior Manager, Transaction Filtering, AML (KYB) & FATCA
Operations, OCT 2013 – DEC 2021

- Identifying the possible enhancements and communicating them to TFSM team.
- Preparing the MI & dashboards on daily/monthly basis
- Monitoring the individual productivity & WIP errors and providing feedbacks to the respective individuals
- Providing inputs for the development of training through interaction within the business area
- Amending the procedures documents whenever changes made in the process
- Analyzing & checking unusual transactions to detect Anti-Money Laundering and CounterTerrorist Financing with Respect to the OFAC, EU, UN, Internal and local Sanctions and Scenarios
- Monitoring and identifying the payments falling into the Sanctions Queue
- Ensuring all the payments hitting the Sanctions queue are properly investigated and released from the Sanctions queue before the Cut-off to meet the SLA
- Reconciliation of end-of-the-day queues and generating MIS report.
- Working with various stake holders for new business initiatives
- To investigate system induced indicia, categorize and assigned correct FATCA reporting status
- Analysis of customer self-certification for FATCA and CDOT legislation along with curing documents
- Ensure error free processing by performing quality checks and providing adequate training
- Work with reporting team and adhere to regulatory deadline for reporting US FATCA and CDOT legislation
- Create and maintain governance documents for FATCA ,CDOT and CRS
- Understand HMRC FATCA Guidance and RBS Internal Policy related to FATCA and CDOT

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- Participating as an SME for Business Acceptance Testing for FATCA and Working with IT to rectify the identify defect
- Review SOPs and initiate process improvements on periodic basis
- Forecast operational requirement for Common reporting Standard (CRS)
- Improve Operational efficiencies using Lean Lite Methodologies
- Effective Communication with the Onshore Stakeholders as well as Third Party Vendor (KPMG) & ensure timely response, escalation & follow up process
- Workflow Monitoring: To ensure the team is progressing as per the correct timelines and not digressing from assigned targets
- Perform AML and KYB verifications on new and existing CIB & Commercial clients
- Ensuring all regulatory requirements are met and the integrity of relevant information.
- Maintaining the Standard Operating Procedure (SOP) of Due Diligence AML/KYC
- Review client information and ensure conformity to KYB and AML standards
- Investigation of potential Sanctions and PEP hits on underlying clients generated from automated alert software
- Ensuring all regulatory requirements are met and the integrity of relevant information.
- Conduct Enhanced Due Diligence (EDD) for high risk clients.
- Analysis on Investigation of potential Sanctions and PEP hits on underlying clients generated from automated alert software.
- Analysis of customer transaction behavior & products.
- Analysis of cases according to internal AML procedures and process.
- Manage a team of 16 analyst and ensuring internal and external SLA's are met

Assistant Manager, Accounts Payable, Sep 2011 – 2013

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- Managing activities of the Payables Procurement Team & IDC PYABLES, which includes sixteen (16) members.
- Job involves ensuring Creation of Purchase orders, follow up for approvals and processing of invoices within TAT.
- Follow up of queries with business contacts in UK& also external vendors to ensure timely payments.
- Vendor reconciliation on weekly basis, reporting the same to business.
- Leaves & proper Back-up planning for the Team.
- Identifying members for BCP & Key person risk
- Ensure Job descriptions for all members, key controls, user notes are in place.
- Highlight areas of improvement and identify process improvements.
- Identify areas for improvement for members & arrange for training needs.
- Implement and act in accordance with the organization's information security policies.
- Preparedness for all Audits & to ensure good Audit ratings.
- Conducting periodical work review & appraisal of Team Members
- Measuring performance consistently and developing & communicating performance scorecards to the Management & Onshore managers
- Achieving and maintaining satisfaction scores on the G-SATi survey for areas of responsibilities.
- Working on SAP Platform FICO module.
- Run integrity checks and follow up on breaches as appropriate Ad hoc provision of data to multiple project teams in various areas of Accounts payable team.
- In IDC payables managing end to end process

Assistant Manager, Accounts Payable, Sep 2011 – 2013

- Handling the queries and escalation in absence of manager
- Updating the process notes as when required
- Handling the team in absence of team manager

Accounts Payable, Executive, Jan 2008 – Aug 2011

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- Releasing the 60 PO's in a DAY in UK process
- Checking daily 70 invoices
- Maintain the error lock and send the details regular basis in team member's
- Handles team in absence of team manager

Accounts Payable, officer, Aug 2006 – Jan 2008

- Achieving the target which is assigned to me with minimum error in UK process

NCR CORPORATION PVT. LTD

FEB 2006-AUG 2006

Office Administrator and Planning & Co-ordination Executive

- Co-ordination with agency & solving the problem of Banks regarding ATM center.
- Processing of voucher expenses of all Zonal coordinators.
- Co-ordination of ad-hoc information requests with all Branches.
- Data Processing related to customer satisfaction forms.
- Preparing Salary Report of Various Branches.
- Regular Scrutinizing the Debtors accounts.

IDBI BANK LTD.

JAN 2002-JAN 2006

Disbursal co-ordination Executive

- Co-ordination of ad-hoc information requests with all Branches.
- Ensuring Timely Process of Disbursement of Home Loans
- Reducing down the Turnaround time in disbursement queries.
- On Job Product training of fresh recruits.
- Involvement in solving of Internal Audit Queries.
- Assisting in Legal & Technical Valuation of Home loans.
- Involvement in Resolving Customer queries.
- Assisted in Takeover of Home loan Portfolio.

JOGLEKAR & SRINIVASAN

FEB 1998 – JAN 2002

Audit Executive Devdhar

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- Ensuring Timely Process of Disbursement of Home Loans.
- Preparation of Accounts with compliance to Accounting Standards.
- Preparation of Internal Audit Report for Textile Firms
- Year-end Accounting and Finalization for Partnership Firms, Private Limited Cos.
- Preparation of Budgeted financial statements for Loan Purpose.
- Conducting audit of Cash Management System of Corporation Bank
- Conducting Stock Audits for Pvt. Ltd. Cos

EDUCATION

- *SOUTHERN NEW HAMPSHIRE UNIVERSITY (USA),
MBA, 2007-2009*
- *S.I.E.S COMMERCE & EDUCATION COLLAGE- -
MUMBAI UNIVERSITY, T.Y.B.COM, 1996-1997*
- *S.I.E.S COMMERCE & EDUCATION COLLAGE- -
MUMBAI UNIVERSITY, H.S.C, 1993-1994*