

Sanyam Saxena

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Residence: Varun Vihar Enclave
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PROFILESUMMARY

Seasoned RBB professional with an experience in Indian & International banking covering CDD/EDD/KYC/AML & Transaction Monitoring. Seeking a chance to leverage my analytical skills to maximize the operations and quality of service.

WORKEXPERIENCE

S.No.	Organisation	Position	Tenure
1.	Shivalik Bank	Associate-Compliance	Dec'24-Current
2.	Netimpact Solutions Pvt. Ltd. (For Axis Bank)	Team Leader(Manager-ORM)	March'24-Aug'24
3.	Concentrix & Axis Bank(Same profile on rolls)	Assistant Manager	Jan'23-March'24
4.	Bank Of America & AMPI	Team Developer(CDD Team)	Feb'21-Oct'22
5.	RBL Bank Limited	Service Delivery Ambassador	June'18-Jan'20
6.	HDFC Bank	Assistant Manager	June'15-Sept'16

EDUCATIONALQUALIFICATIONS

S.No	Discipline	College/Institute	Board	Year	(%)	Remarks
1.	M.B.A	F.O.S.S- Dayalbagh University	D.E.I	2015	7.22	Finance & Marketing
2.	B.Sc. (Engg.)	F.O.E- Dayalbagh University	D.E.I	2012	65.1%	Electrical Machines, PS
3.	Intermediate	Amar Nath Vidya Ashram	C.B.S.E	2008	85%	Topfive.
4.	Highschool	Amar Nath Vidya Ashram	C.B.S.E	2006	87%	2 nd inClass.

Shivalik Bank Compliance _Associate (Dec2024 – Current)

- Implement AML/KYC screening/EDD/CDD/Compliance on customer accounts/client on boarding accounts through internal database to mitigate various risks like terrorist financing, money laundering and corruption.
- Perform Transaction Monitoring, Customer Screening, which is part of KYC (Know Your Customer).
- Analysis of Company/ Client profile and screening the customer under Negative Screening.
- Work on Various Screening tools such as Compass, Refinitive and Dow Jones to determine any risk associated with the clients and connected parties.
- Perform CDD & EDD according to the risk-based approach of the organization.
- Monitor/analyze the alerts and investigating potential suspicious transactions.
- Escalate negative news/adverse media and PEP/SIP (true matches) to compliance for approval of negative news disposition and assisting KYC department with other KYC remediation projects to enhance the KYC framework.
- Conduct KYC on high-net-worth individuals and corporate entities before acceptance as a client through KBA -Knowledge-Based Authentications, EID, and V Screening Adverse Media Search and PEP assessments using World-Check, Clear and RDC.
- Interpret and apply anti-money laundering regulations to identify and recommend compliance changes as appropriate. Collect and examine financial statements and documents to assist in identifying unusual transaction patterns.
- Liaise with Business Lines (BL) and Relationship Managers (RM) for missing KYC requirements and collect other mandatory information as prescribed Local regulations and guidelines.
- Perform Screening and review due diligence of clients and performing Know your customer and EDD for periodic review project to minimize reputation, regulatory or money laundering risk.
- Remediating customer's Know Your Customer (KYC) record in accordance with client's customer identification program (CIP) and customer due diligence (CDD) standards.

Netimpact Solutions Pvt Ltd – TeamLeader (March2024–Aug2024)

- Handled Principle Nodal Desk of Axis bank (pno@axisbank.com),customer grievance redressal.
- Lead and manage a team of chat agents to achieve performance targets
- Monitor and enhance team performance through regular feedback and coaching sessions
- Ensure adherence to company policies and procedures
- Handle escalations and resolve complex customer queries effectively
- Generate and analyze reports to track team performance and identify improvement areas
- Collaborate with other departments to streamline processes and enhance customer experience
- Conduct regular team meetings to communicate updates, share best practices, and motivate team members

AxisPhone & Concentrix –Assistant Manager(Jan2023 -March2024)

- Inbound axis bank customers calls center for credit cards & Retail Branch banking
- Handle Cross-selling of all 26 banking products of Axis Bank over call.

Ameriprise Financials & Bank Of America – Team Developer & Senior Trust Specialist (Feb2021 – Oct 2022)

- Hands-on experience on tools like Refinitive World Check & Compass to mitigate hits end-to-end and support the team as a specialist in this area.
- Conduct daily name screening of customers, transactions, and related parties against various sanctions and watch lists.
- Review and investigate potential matches to determine the identity and risk level of the entity or individual.
- Maintain and update internal databases with relevant information from screening activities.
- Ensure the accuracy and completeness of data used for screening purposes.
- Investigate alerts generated from screening activities to identify false positives and genuine hits.
- Prepare detailed reports on findings and escalate confirmed matches to the appropriate teams
- Stay updated with changes in regulations, sanctions lists, and industry best practices.
- Ensure all name screening activities comply with relevant laws, regulations, and internal policies.
- Work closely with other compliance and AML teams to share information and insights.

RBL Bank Limited – Service Delivery Ambassador (Jun 2018 – Jan 2020)

- Handling audit, compliance during day to day operations in RBB
- Promoted as Authorizer and handled a team of teller, Welcome desk and service guys
- Supported in sales and also served as branch head in the absence of BH
- Scored 100 % in FTR championship at RBL Bank (2019-20)
- Secured Rating (Solid Player) with Bonus and Appraisal
- Took role of head Cashier and trained new employees on cash counter
- Worked as an authorizer with both Inputter and Authoriser ID's active
- Handled Welcome Desk as well as non cash counter on rotational basis
- Received bulk cash weekly of Lakshmi Vilas Bank in crores figures

HDFC Bank - Assistant Manager (AM) (Jun 2015 – Sept 2016)

- Teller operations
- Retail branch banking exposure
- Branch ATM cash filling and EOD on daily basis
- Cashier counter experience
- Client on boarding, KYC
- Hands on training of Finacle software

PERSONALDETAILS

Father'sName: Dheeraj Saxena Date of Birth: 17 August 1992

