

Avi Chawla

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Objective

Detail-oriented and analytical professional with experience in anti-money laundering (AML) and fraud detection. Adept at identifying suspicious activities, conducting investigations, and ensuring adherence to AML laws and company policies to protect against financial crime and reputational risk.

Education

- **Institute of Technology and Science, Ghaziabad** 2021-2023
Master's of Business Administration
- **H.R Institute of Technology and Science, Ghaziabad** 2018 - 2021
Bachelor's of Business Administration

Experience

- **Genpact India Pvt Ltd** April'2024 - Present
Senior Associate - (Transaction Monitoring)

Transaction Monitoring Expertise: Specialized in conducting Level-1 (L-1) and Level-2 (L-2) transaction monitoring for AML (Anti Money Laundering) purposes, identifying suspicious activities, and ensuring compliance with regulatory standards.

Case Management: Successfully reviewed, investigated, and resolved over 1000+ cases, ensuring compliance with financial regulations and reporting suspicious activities in line with institutional guidelines.

SAR Filing: Proficient in preparing and filing Suspicious Activity Reports (SARs) in accordance with legal requirements and internal protocols, with a strong understanding of regulatory frameworks such as FinCEN guidelines.

Enhanced Due Diligence (EDD): Led and executed Enhanced Due Diligence (EDD) processes for high-risk customers, ensuring a comprehensive review of customer profiles, transactions, and background checks to assess potential money laundering risks.

AML Regulations: In-depth knowledge of Anti-Money Laundering (AML) practices, risk assessment techniques, and mitigation strategies. Contributed to strengthening AML controls and compliance processes.

Sanctions and OFAC Compliance: Thorough understanding of U.S. Department of the Treasury's Office of Foreign Assets Control (OFAC) regulations and global sanctions lists, ensuring compliance with restrictions and prohibitions on sanctioned entities.

Risk Analysis & Reporting: Skilled in analyzing transaction patterns, identifying red flags, and preparing detailed reports to senior management regarding potential risks or suspicious

activities

Collaboration & Training: Collaborated with cross-functional teams to ensure consistent application of transaction monitoring protocols. Assisted in training new team members on AML regulations, SAR filing processes, and best practices for transaction review.

- **Samco Securities Pvt Ltd (Samco Mutual Fund)**
Business Associate

July'2023 - February'2024

KYC Compliance & AML Management: Managed and ensured the compliance of Know Your Customer (KYC) processes for mutual fund clients, adhering to regulatory standards and internal policies. Conducted Anti-Money Laundering (AML) checks and due diligence for client accounts to identify and mitigate potential risks. Worked closely with legal and compliance teams to ensure timely and accurate KYC documentation, preventing fraud and money laundering activities.

Client Onboarding & Account Management: Led end-to-end onboarding of new clients, ensuring all necessary KYC documentation, AML verification, and regulatory requirements were met. Coordinated with clients to resolve any issues related to documentation, ensuring smooth account creation and timely activation of investment accounts.

Banking Process & Integration: Collaborated with banking partners, particularly IDBI Bank, for seamless integration of banking services with the mutual fund platform. Conducted KYC checks for clients via IDBI Bank's network to ensure regulatory compliance and assist in the smooth functioning of banking-related processes.

Screening & Risk Assessment: Performed detailed screening of clients and transactions in line with KYC and AML regulations, flagging any suspicious activity for further investigation. Assisted in periodic audits of client accounts to ensure ongoing compliance with KYC, AML, and internal risk management policies.

Business Growth & Relationship Management: Developed and nurtured relationships with key stakeholders, including IDBI Bank and other business partners, to drive business growth and expand the customer base. Played an instrumental role in identifying new business opportunities, facilitating product offerings, and promoting mutual fund schemes to customers.

Training & Process Optimization: Trained and mentored junior staff on KYC/AML compliance, ensuring the team was up to date with regulatory changes and best practices. Identified and implemented process improvements to streamline KYC verification, reduce turnaround times, and enhance customer satisfaction.

Skills

- Risk Assessment
- Technical Proficiency
- Regulatory Knowledge

Achievements & Awards

- Won various Bronze Awards for best performer of the month .
- Won Extra-Miller award for active engagement in fun and recreational activities and organising various events .
- Get RNR multiple months for best performer .