

# SANKALP AGARWAL

KYC & Compliance Professional (Ex - UBS) | BFSI Business Development Executive

+91-7060492414 | [agarwal.sankalp17@gmail.com](mailto:agarwal.sankalp17@gmail.com) | [www.linkedin.com/in/sankalp-agarwal1708](https://www.linkedin.com/in/sankalp-agarwal1708)

Post Graduate – Financial Market

## PROFILE SUMMARY

Detail-oriented KYC/AML and Compliance professional with 1+ year of hands-on experience in client onboarding, CDD/EDD, PEP & Sanctions screening, and financial crime compliance at UBS. Supported by an additional 2 years in BFSI roles with exposure to financial operations, client engagement, and compliance-oriented environments. Demonstrated knowledge of APAC and CUSO regulatory frameworks. Proficient with tools like Fenengo, RDC, Cosima, and Factiva. Seeking to return to a core compliance role where I can apply my regulatory expertise, risk analysis skills, and stakeholder coordination experience.

## CORE SKILLS & TOOLS

KYC/AML Compliance (CDD, EDD, PEP, Sanctions)	Risk Analysis & Escalation Management
APAC & CUSO Regulatory Adherence	Client Onboarding & Due Diligence
Financial Crime Compliance & Adverse Media Screening	Background Screening Tools (Fenengo, Cosima, RDC, Factiva)
Legal Document Review: UBOs, Commercial Registries	Quality Control & Process Optimization

## WORK EXPERIENCE

### Apr 2023 – Present | Modus Information Systems Pvt. Ltd., Pune, India

#### Business Development Executive

- Identified new business opportunities, generated leads, and build a strong pipeline of potential clients within the IT banking sector.
- Built strong relationships with 30+ BFSI clients, aligning IT solutions to banking needs.
- Collaborated with multiple cross-functional teams for seamless project execution and client satisfaction.
- Gained deep sector knowledge including compliance pain points, enhancing industry understanding.
- Understood the products and services offered by the banks and provided the tailored solutions as per their requirements.

### Apr 2022 – Apr 2023 | Union Bank of Switzerland, Pune, India

#### KYC Analyst

- Performed end-to-end KYC reviews (CDD/EDD) for medium to high-risk clients across APAC and CUSO.
- Conducted PEP & Sanctions screening using RDC, Lexis Nexis, and Cosima; escalated red flags per policy.
- Worked with tools like Fenengo, Cosima Check, RDC, Lexis Nexis and Factiva to conduct thorough background screening, PEP and sanctions checks.
- Reviewed legal documentation (UBO structures, company registries, audited reports).
- Collaborated with Compliance & AFC teams to manage onboarding risks and ensure audit readiness.
- Suggested process enhancements to reduce onboarding delays by 15%.

### Apr 2019 – Oct 2019 | Aditya Birla Capital, Lucknow, India

#### Agency Manager

- Managed agent sales team, training and developing members to meet performance goals.
- Developed sales strategies and monitored financial product penetration.

## INTERNSHIP AND TRAINING

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**Jun 2021 – Oct 2021 | Motilal Oswal Financial Services Ltd., Mumbai, India**

**Market Research Intern | Automobile Sector**

- Analyzed stock market trends and technical analysis strategies for investment research.
- Prepared daily technical sheets summarizing key market movements.

## CERTIFICATIONS & TECHNICAL EDUCATION

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**Post Graduate Certificate in Data Science and Artificial Intelligence (Pursuing)**  
**IIT Bangalore (via UpGrad)**

- Coursework includes Python, SQL, Machine Learning, Data Visualization, and AI applications
- Tools: Pandas, NumPy, scikit-learn, Tableau
- Focused on applying data science in financial compliance and risk analytics

## EDUCATION

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**Jun 2020 – May 2022 | ITM Business School, Navi Mumbai, India**

**Post Graduate Diploma in Management | Financial Markets**

- Developed a strong foundation in organizational concepts and objectives focusing on Security and Portfolio Management, Commodity and Forex Markets, Financial Derivatives, Modelling and Solutions.
- Achieved an aggregate GPA of 7.75.

**Jul 2015 – May 2018 | Graphic Era University, Dehradun, India**

**Bachelor of Business Administration | Finance**

- Developed a strong foundation in financial and operational concepts.
- Achieved an aggregate GPA of 6.40.

## Additional Information

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- **Language:** English and Hindi
- **Availability:** Immediate | **Location:** Pune, Open to Relocation