

Saumya Pathak

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Kanpur, Uttar Pradesh

EXECUTIVE SUMMARY

PGDM graduate with hands-on experience in corporate strategy and client servicing within merchant banking. Familiar with customer due diligence (CDD), transaction monitoring, and AML/KYC compliance processes. Skilled in working with various departments, maintaining accurate records, and supporting client onboarding. Actively pursuing a career in financial crime prevention and compliance.

KEY COMPETENCIES

Customer Due Diligence (CDD)

Transaction Monitoring

AML/KYC Compliance

Risk Assessment

Attention to Detail

Knowledge of Financial Markets and Exchanges

PROFESSIONAL EXPERIENCE

Share India Securities Limited

Nov 2023 - Sep 2024

Management Trainee, Corporate Strategy Department

- Reviewing KYC Documents:** Verifying client identification and ensuring regulatory compliance.
- Transaction Monitoring:** Monitoring transactions for irregularities, such as unusual trades, transfers, or withdrawals.
- Identifying Suspicious Activities:** Flagging transactions that deviate from normal client behaviour, indicating potential fraud or money laundering.
- Payment Source Analysis & ID Verification:** Conducted in-depth analysis of payment sources and validated PAN/Aadhaar details to ensure authenticity and regulatory compliance.
- Red Flag Identification:** Spotting unusual activity or high-risk connections for further review.
- Extensive Research:** Conducting research on clients and transactions using internal and open-source tools.
- KYC Dashboard Management:** Managing the KYC dashboard to ensure accurate and compliant client data.

Share India Capital Services Private Limited

Oct 2024 - Apr 2025

Executive, Merchant Banking

- KYC Compliance in Investment Assessments:** Ensured all SME investment opportunities complied with KYC standards, verifying client legitimacy and assessing risk.
- Risk Management and Due Diligence:** Applied AML/KYC due diligence during investment risk evaluation, ensuring regulatory compliance.
- Monitoring Suspicious Activity:** Identified unusual financial patterns during site visits, flagging potential money laundering or fraud.
- Data Integrity and KYC Reporting:** Maintained accurate client and investor data, ensuring compliance with KYC regulations.
- Coordination with Compliance Teams:** Collaborated with compliance teams to ensure promoter investments met both financial and KYC standards.
- Enhanced Due Diligence (EDD):** Conducted EDD on high-risk promoters, verifying backgrounds and financial histories for AML compliance.

Summer Internship

May 2023-June 2023

NJ India Invest Private Limited (Finance Intern)

- Assisted in conducting financial analysis of investment portfolios, including performance evaluation, and risk assessment
- Assisted in addressing investor inquiries, supported the investor on boarding process
- Participated in cross-functional projects with different departments within the company, such as marketing and operations

EDUCATION & CERTIFICATIONS

Dr. Gaur Hari Singhania Institute of Management & Research, Kanpur

Post Graduate Diploma in Management (Finance, IT)-75%
2022-2024

Chhatrapati Shahu Ji Maharaj University, Kanpur

Master of Commerce-61%

2020-2022

Chhatrapati Shahu Ji Maharaj University, Kanpur

Bachelor of Commerce-61%

2017-2020

EXTRACURRICULAR ACTIVITIES

NISM Series-V-A

MS Excel

ChatGPT and AI hacks with MS Office