

# PINKI GOLA

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## Summary

Experienced Senior Analyst with a demonstrated history of working in the investment banking industry for 10+ years. Experienced in Swift payments, Risk Compliance & Global Regulatory Filtering /Embargoes/OFAC/ Expert in Sanctions & Embargoes Regulations/ Trade & security messages. Skilled in Banking Operations such as FATCA/CRS, KYC/ CDD, AML and Leadership.

## Experience



### Process Supervisor

Deutsche Bank

Aug 2022 - Present (3 years 2 months)

- Conduct thorough screening of incoming and outgoing payments (Trade, SEPA, and MTNA)/SWIFT messages) against multiple sanctions lists, including but not limited to OFAC, UN, EU, and internal watch lists.
- Review and monitor alerts on Hotscan Case Management on client accounts and transactions for potential matches to designated sanctions targets and prohibited person's lists including Dow Jones, utilizing advanced screening tools and technologies.
- Identify potential matches and flag suspicious transactions for further investigation, collaborating closely with the Compliance team to interpret and apply regulatory guidelines effectively.
- Responsible for timely, efficient reporting of suspicious transactions or true matches to the relevant AML Compliance Officer & the Financial Intelligence team.
- Ensure meticulous documentation of screening activities, maintaining accurate records of findings and actions taken to meet audit and compliance standards. Stay abreast of regulatory changes and updates from Dow Jones, adapting screening procedures accordingly to ensure ongoing compliance.
- Engage in regular training sessions to deepen understanding of sanctions regulations and refine screening methodologies, actively contributing to the enhancement of screening processes and systems through feedback and suggestions.
- Assist Team Leader in the day to day functioning by completing various extra tasks such as maintaining daily and weekly leave tracker, sending deletion confirmation of the deleted transactions to authorize contacts, sending hourly flashes of the pending payments, managing queues as per deadlines, EOD volume reports, execute and reviewing mid-day and EOD checklist etc.



### Financial Crime Sanctions Officer

Barclays

Apr 2020 - Aug 2022 (2 years 5 months)

- Screen Payments/SWIFT (on FIRCOSOFT) of the OFAC UKHMT EU UN list in accordance with the company's Policies and WORLD CHECK data.
- Conduct due diligence searches in various third-party and internal databases.
- Review and monitor alerts on client accounts and transactions for potential matches to designated sanctions targets and prohibited person's lists.

- Responsible for timely, efficient reporting of suspicious transactions or true matches to the relevant AML Compliance Officer & the Financial Intelligence team.
- Responsible for handling the 'Compliance Exception queue' with a team of 6 people.



### **Sr. Associate - OPS**

WNS

Dec 2019 - Apr 2020 (3 months)

- To handle Customer's queries related to their loan accounts and payments.
- Help them navigate through the application and other procedures related to their loan accounts.



### **Customer Service and Operations Analyst**

Royal Bank of Scotland Business

May 2017 - Oct 2019 (2 years 6 months)

- Handling Tax reporting for US and Non-US legislations.
- Review, validate and process W-8 and W-9 tax forms and related documentation according to IRS Chapter 3, chapter 61, and FATCA regulations besides CRS.
- Providing Tax compliance reporting/ risk reporting of individual and entity customers to HMRC as per the responses and ensuring processing as per agreed turnaround time and service level agreement.
- Maintaining MIs.
- Cross trained in different stages in FATCA/CRS Operations (Individual Indicia Review, Entity Indicia Review, Categorization, Customer Response Validation, Manual Letter Further Information, Individual Indicia Review QC, Entity Indicia Review QC, Categorization QC).



### **Leasing Analyst**

JLL

Jun 2016 - Mar 2017 (10 months)

- Abstract critical and key information from leases and other contract documentation and transfer information into various lease and portfolio database systems.
- Prepare Reports from lease documents as per the client's demand and requirements.
- To audit and review system reports and system data for accuracy.
- Liaising with internal and external contacts when required.
- To make Cost schedules from the data provided in the Leases, relating to, such as, Operating Expenses, Electricity Charges, Base Rent, Free Rent or Abated Rent, Prepaid Rent, Security Deposits etc.



### **Data Management Analyst**


ASKME.com

Jul 2015 - May 2016 (11 months)

- Handling the large set of data and preparation of various reports as per the demand of clients.
- Managing the Web Portal and Writing product description.
- Capturing product information from a variety of sources like competitor websites, manufacturing websites, physical and digital catalogues, etc.
- Maintain the dealer price, selling price and MRP of product by checking the price with proper suitable formulas in excel.

- Doing quality check of the whole work which is done and Finding errors in item list and panel and correcting them.
- Taking information on mail from the tie-up team and marketing team about doubtful products or their prices and sometimes from the vendor directly.

## Licenses & Certifications

 **Financial Modeling** - Corporate Finance Institute

 **Certified Financial Executive** - ICFe- Unit of Nexgen Edusolutions Pvt. Ltd.

## Skills

U.S. Foreign Account Tax Compliance Act (FATCA) • Common Reporting Standard (CRS) • Sanction • Anti-Money Laundering • Regulatory Compliance • U.S. Office of Foreign Assets Control (OFAC) • SWIFT Messaging • KYC Verification • CDD • Transaction Monitoring • Trade Payments • Individual Broker payments • HOTSCAN • Individual Broker payments • Dow Jones • FIRCOSOFT • World Check • CINQ • Sea Searcher

## Honors & Awards



**Bronze Ovation** - Barclays

Jun 2022

Got One Time Bronze Ovation for working hard and performing diligently and giving high productivity during deadlines.



**Employee of the year** - Royal Bank of Scotland Business

Jan 2019

Won 'Employee of The Year' for doing non-core and managing Friday Fun Activities, journey wall preparation and organizing other events along with 100% productivity throughout the year.



**Monthly R&R award** – Deutsche Bank

Feb 2024

Received the monthly Rewards and Recognition Accolade for proposing the good guys into the system, resulting in a substantial decrease in overall hits and volume.