

# Simran Gautam Dua

AML-KYC Practitioner

An MBA-Finance professional having over 6 years of successful experience (Ongoing) in Banking and Financial Services related to AML/KYC processes and regulations with an ability to stay composed under high pressure and real-world unpredictable circumstances.

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📞 9888488211

📍 Delhi, India

## WORK EXPERIENCE

### Assistant Manager

Genpact India Pvt. Ltd., Gurugram

05/2021 - Present

*Achievements/Tasks*

- Working for Australia's First Bank (Client) to establish new relationship with their clients, gather essential information on client and perform regulatory, legal and credit-related due diligence with identity checks.
- On-boarded customers that are new to bank, as per policy.
- Have thorough understanding of client's business and related parties in order to monitor client's activities for unusual transactions.
- Working with diverse range of client types which includes Domestic/Foreign Private Entity, Domestic/Foreign Public Entity, Trusts, Fund, Foreign, Listed, Wholly-Owned/Majority- Owned Regulated entities etc.
- Contribute to development by handling reporting of daily production numbers, conducting trainings, put trackers in place to improve quality by addressing queries. Also, learnt to uplift KYC clients as per policy.
- Review process guidelines, SOPs, Process flows and recommend improvements.

### Specialist

PriceWaterhouseCoopers (PwC) SDC, Bangalore

04/2019 - 04/2021

*Achievements/Tasks*

- Worked for German Multinational Investment Bank (Client) for risk profiling of various entities and providing specialized services to the client in terms of assessing and minimizing the overall financial risk to curb Money Laundering.
- Conducted both Regular Reviews as well as Event Driven Reviews and periodically evaluating existing client according to established policies.
- As a part of KYC regular review/ remediation, understanding the risk of the clients using specific tool based on customer type, industry, geography, product and services and implementing the due diligence based on the risk.
- Understanding the customer's nature of business and purpose of establishing relationship with bank in order to monitor the activities that are suspicious and may qualify for unusual transactions, ultimately protecting organization from risks of Sanctions, PEP, Money Laundering, Terrorist Financing, Bribery and Corruption etc.

## ACHIEVEMENTS

Recently given opportunities to perform "6 Eye Checks" internally to achieve better quality.

Received "Pat on the Back" award for deep domain expertise.

Marked as a "Green Analyst" for AML/KYC Project at PwC.

"1st Runner Up" in Finance Event at Inter College Management Fest, Kerala University.

"Distinction Holder" in 5 Semesters of BCom, Punjab University.

## SKILLS

AML Compliance Knowledge

Decision Making Abilities

Analytical Skills

Screening Applications - Lexis  
Nexis, Fircosoft, RDC

AML Software Proficiency -  
Fenergo, SOL

## EDUCATION

### MBA (Finance)

INSTITUTE OF  
MANAGEMENT CHRIST  
(DEEMED TO BE  
UNIVERSITY),  
BANGALORE

*Courses*

71.28%

**BCom (Hons.) –  
Accounting & Finance**  
SRI AUROBINDO COLLEGE  
OF COMMERCE &  
MANAGEMENT, LUDHIANA

*Courses*

79.18%

## INTERNSHIP

NIIT LTD., GURUGRAM  
(04/2018 - 05/2018)

*Financial Planning & Analysis Internship  
Project (MBA)*

## LANGUAGES

English

*Full Professional Proficiency*

Hindi

*Full Professional Proficiency*