ASHISH MATTA

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Profile Summary

As an accomplished AML/KYC compliance specialist team leader, I offer over 6 years of expertise in regulatory compliance and risk assessment. My strong grasp of AML/KYC regulations enables me to excel in onboarding, conducting comprehensive KYC checks, and transaction monitoring, covering CDD, EDD, and more. My ability to collaborate with diverse teams and senior management has been pivotal in driving organizational financial objectives.

Work Experience

Management Trainee, *Genpact*   02/2022 – Present

- Currently working in AML/KYC Domain as a compliance specialist.
- Serving as a Management Trainee (Team leader) and AML analyst, gaining hands-on experience in identifying and addressing suspicious activities to ensure compliance with regulatory standards.
- A specialist member of the KYC (Know Your Customer) team responsible for obtaining, completing and maintaining all Regulatory KYC documentation for all clients in accordance with the Bank's guidelines and in compliance with US & global financial regulations.
- Assisted Financial institutions in all aspects of the customer onboarding process and provide feedback and escalate issues identified from PEP, OFAC SDN, FBI most wanted, sanction screening into clients KYC documents and risk categorization.
- Conducted transaction monitoring for US-based clients, addressing various typologies such as excessive fund transfers, ATM withdrawals, wire transfers from high-risk destinations, and activities in dormant accounts.
- Adverse media searches for negative information related to customers and associated entities.
- Conducted thorough AML/KYC due diligence on new and existing customers, including risk assessment, identity verification, and screening against sanctions lists and adverse media.
- Demonstrated proficiency in conducting customer due diligence (CDD), enhanced due diligence (EDD) and ongoing monitoring to detect and prevent money laundering activities and financial fraud.
- Skilled in assessing and mitigating AML/KYC risks associated with cient onboarding, transaction monitoring, and suspicious activity reporting (SAR).
- Conducted Enhance due diligence searches in various third-party and internal databases like LexisNexis.
- Experienced in utilizing AML/KYG software and tools for customer screening. transaction monitoring. and risk assessment. Familiarity with industry-leading AML/KYC solutions and platforms.
- Update customer databases with relevant added information (UAR and EDD investigation) in Unit 21
- Conduct meaningful analysis and assign an appropriate risk rating to clients as well as prepare a concise but comprehensive narrative and recommendation report whether to or not to file a suspicious Transaction Report with UAR (Unusual Activity Report).
- Identifying patterns and trends consistent with money laundering, terrorist financing and flagged any suspicious activities detected, investigate source and destination of funds to ascertain legitimacy of funds and its use.

- Responsible for identifying and researching the patterns to detect, prevent, mitigate and report suspicious activity related to money laundering, terrorist financing and structuring of funds.
- Performing Quality Review on cases performed by other team members before sending to onshore for any further action.
- Actively support my team leader in the preparation of quality reports, WBR (Weekly Business Review), and various other reports crucial to our business operations.

Senior Analyst, *GlobalLogic*   08/2019 – 02/2022

- Monitor disputed transactions for possible fraudulent activity and responsible for reviewing complex/high dollar claims after performing a reasonable investigation into the reported activity and submitting chargebacks to recover funds.
- Doing a RCA (Root Cause Analysis on customer disputes for card transactions (credit card, debit card, ATM/PIN, POS to determine if an Unauthorized transaction has occurred and take appropriate actions to recover funds for the financial institution.
- Worked In BFS (Banking and Financial services Analytics) Department as a dispute investigator and fraud analyst.
- Data Curation (Knowledge Graph).
- Data Analysis and Review.
- Delivering Different project's data at the highest possible quality standard.

Education

MBA/PGDM - Finance, *SURESH GYAN VIHAR UNIVERSITY*   2022
Grade - 8/10

B.A - Vocational Course, *College of Vocational Studies, Delhi*   2019
Grade - 6.9/10

12th, *CBSE, English*   2016
Grade - 88%

10th, *CBSE, English*   2014
Grade - 95%

Key Skills

- Financial Analysis
- Financial Services
- Adverse Media
- Lexis Nexis
- KYC AML

- Analytical Skills
- Client Onboarding
- EDD
- Transaction Monitoring
- Compliance

Certification

- NISM-Series-XV: Research Analyst Certification Examination
- Lean and Six Sigma