



SURAJ KUMAR CHAUHAN

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SUMMARY

Detail-oriented finance professional with 5 years of experience across equity markets, client servicing, and operational compliance. Known for accuracy in handling transactions, maintaining reliable documentation, and ensuring adherence to regulatory and internal guidelines. My roles have strengthened my ability to analyze client information, identify inconsistencies, manage high-volume tasks, and follow structured review processes—capabilities that translate strongly into compliance and review-focused positions. I bring a disciplined work approach, strong analytical thinking, and a commitment to quality, making me well-suited for roles involving verification, operational compliance, and structured financial review.

Core Competencies

Compliance Awareness & Process Adherence, Customer Due Diligence (CDD) / Enhanced Due Diligence (EDD), Risk Profiling & Compliance Review, Financial Statement & Pattern Analysis, Capital Markets & Trading Behaviour Monitoring, Regulatory Awareness (KYC, AML concepts, STR/SAR basics), Client Verification & Profile Assessment.

SKILLS

- Analytical Thinking
- Attention to Detail & Problem-Solving
- Transaction Handling & Operational Accuracy
- Documentation Review, KYC Verification & Record Maintenance
- Ability to Use Portfolio Management Software
- Understanding of Risk Flags in transactions
- Capital Market understanding
- Accuracy in Data Entry & Information Verification
- Understanding of Investment Banking
- Experience with Trading Platforms
- Risk Management Skills
- Familiarity with Regulatory Compliance Software
- Ability to Work Under Pressure & Meet Timelines
- Effective communication & coordination

EXPERIENCE

Senior Executive E2 / Axis Securities Ltd. - Gurgaon, India

07/2024 - Current

- Monitored high-value equity transactions for HNI clients, ensuring alignment with regulatory guidelines and internal compliance standards.
- Improved risk visibility by identifying unusual trading behaviour, inconsistencies, and deviation from expected client profiles.
- Performed detailed capital market research to assess financial patterns that may indicate potential risks or unusual activities.
- Ensured documentation accuracy, client verification, and adherence to compliance norms during trade execution.
- Performed detailed capital market research to assess financial patterns that may indicate potential risks or unusual activities.

Senior Equity Advisor / Motilal Oswal Financial Services Ltd. - New Delhi, India

02/2020 - 04/2021

- Conducted client risk profiling and assessed the suitability of products based on investment behaviour and historical patterns.
- Monitored derivative and equity trades for unusual activities or mismatched behaviour in client accounts.
- Ensured regulatory KYC standards were followed during client onboarding and servicing.
- Identified trading risks and advised clients with data-backed insights, ensuring alignment with internal compliance controls.

Online Equity Advisor / Karvy Stock Broking Ltd. - Hyderabad, India

09/2018 - 12/2019

- Analysed client financial behaviours to detect inconsistencies or potential risk factors.
- Maintained detailed client records and transaction history for audit and compliance teams
- Provided financial insights correlating market trends with client transaction patterns.
- Executed equity and bond transactions while ensuring compliance with operational and regulatory standards.

FSC Manager (Financial Service Consultant) / ICICI Prudential Life Insurance - West Bengal, India

06/2017 - 01/2018

- Maintained records in adherence with regulatory norms and internal compliance.
- Identified incomplete or inconsistent client information and escalated for verification.
- Assisted clients in documentation verification and compliance checks during policy issuance.
- Retained clients and obtained referrals by promptly resolving customers' complaints, proving value, and ensuring quality.

EDUCATION AND TRAINING

Bachelor of Business Administration: Finance

2014-2017

Maulana Abul Kalam Azad University of Technology - West Bengal, India

12th: Commerce

2012-2014

West Bengal, India

Board: West Bengal Council Board (WBCHSE)

10th

2012

West Bengal, India

Board: West Bengal Board of Secondary Education (WBBSE)

CERTIFICATIONS

- INVESTMENT BANKING Virtual internship with JPMorgan Chase through FORAGE
- Capital Market Certification on LinkedIn Learning
- NISM Equity Derivative Series VIII
- NISM Currency Derivative Series I
- Pursuing FMVA Certification (Started June 2025) – Finocontrol

PERSONAL DETAILS

Language- English, Hindi

DOB- 02/10/1995

SIGNATURE-

Suraj Kumar Chauhan

DATE-.....
