

# KANIKA ARORA

Senior Associate – Operations | Client Account Management | Quality Control

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## PROFESSIONAL SUMMARY

Detail-oriented Operations & Quality Control Specialist with 4+ years of experience in Client Account Management, Transaction Processing, QC reviews, KYC/AML, and regulatory compliance (MiFID II, UCITS, GDPR). Proven track record in reducing errors through root-cause analysis, optimizing processes, maintaining audit-ready documentation, and supporting cross-functional teams. Skilled in MIS reporting, SLA management, and continuous improvement.

## CORE COMPETENCIES

Quality Control (QC), Audit Readiness, Client Account Management, Transaction Processing, Asset Transfers, KYC/AML (CDD, ID Verification, Sanctions), Regulatory Compliance (MiFID II, UCITS, GDPR), Issue Escalation, Root-Cause Analysis, Process Improvement, Operational Excellence, Client Onboarding, Documentation Review, MIS Reporting, Dashboard Creation, SLA Management, Performance Monitoring, Stakeholder Coordination, MS Excel (Advanced), MS Office Suite

## SOFT SKILLS

- Attention to Detail – Identified discrepancies during QC checks preventing processing errors.
- Analytical Thinking – Conducted root-cause analysis on recurring exceptions.
- Problem Solving – Proposed corrective actions for repeated operational gaps.
- Time Management – Completed time-critical QC reviews within SLA timelines.
- Communication – Presented QC findings to operations and compliance teams.
- Team Collaboration – Worked closely with Client Account Management and Compliance to resolve issues.
- Adaptability – Adapted quickly to new regulatory requirements and workflow changes.
- Accountability – Owned QC reports and maintained accurate dashboards for audits.
- Process Discipline – Followed standardized QC checklists to maintain compliance.
- Continuous Improvement – Suggested workflow enhancements reducing QC exceptions.

## PROFESSIONAL EXPERIENCE

**Senior Associate – Operations & Client Account Management | Fidelity International, India | Jun 2024 – Present**

- Conduct detailed QC checks across account setup, transactions, transfers, deal amendments, and re-registrations.
- Maintain accurate QC documentation and review daily/weekly/monthly control reports.
- Ensure adherence to regulatory standards, AML/KYC compliance workflows, and internal controls.
- Perform root-cause analysis on exceptions and implement corrective/preventive actions.
- Assist in continuous improvement initiatives and conduct process training for team members.
- Prepare MIS dashboards and SLA performance reports for senior management.

#### **Associate – Operations | Fidelity International, India | Mar 2022 – May 2024**

- Performed chasing activities to collect missing documents and resolve onboarding bottlenecks.
- Managed Reg-In / Reg-Out processes ensuring accurate investor/fund onboarding and exit.
- Executed AML checks including CDD, ID verification, sanctions screening, and ongoing monitoring.
- Conducted KYC (beneficial ownership, profiling, customer verification).
- Identified suspicious transactions and assisted in SAR-related reviews.
- Monitored evolving AML regulatory requirements and updated processes accordingly.

#### **Analyst | Vaco Binary Semantics, India | Oct 2020 – Mar 2022**

- Reviewed websites, ad content, and video content ensuring compliance with quality guidelines.
- Conducted content accuracy and relevance checks; achieved consistent quality benchmarks.
- Analyzed performance trends and prepared weekly insights for stakeholders.
- Created and maintained SOPs, training documents, and performance reports.

#### **EDUCATION**

- MBA, New Delhi (2018–2020)
- Bachelor of Arts, Delhi University (2015–2018)
- High School, Queen Mary’s School, New Delhi (2014–2015)

#### **AWARDS & RECOGNITION**

- “High Five” Award – Outstanding monthly performance.
- Top Performer – Quality & Customer Service.
- Recognized for contributing to Customer Satisfaction (April & May).

#### **LANGUAGES**

- German – Highly Proficient

- English – Fluent
- Hindi – Native

### **INTERESTS**

- Traveling
- Music
- Family Time