

Shivam Vatsya

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SUMMARY

Detail-oriented Internal Auditor with hands-on experience in auditing ASBA and Vendor Management processes within CPC operations. Skilled in testing internal controls, reviewing fund flow and reconciliation, and ensuring compliance with SEBI/RBI guidelines. Demonstrates strong understanding of risk assessment, vendor due diligence, and AML/KYC processes. Adept at identifying control gaps and recommending process improvements to enhance operational transparency and compliance.

WORK EXPERIENCE

Utkarsh Small Finance Bank, Varanasi

July 2025 - Present

Internal Auditor

- Conducted ASBA audits to verify IPO application uploads, fund blocking, and transfers to issuer accounts as per SEBI/RBI norms.
- Checked dispatch of physical ASBA forms and process adherence to internal SOPs and regulatory timelines.
- Reviewed BOA files, daily reconciliations, and final certificates to ensure accuracy and completeness of data.
- Audited vendor management process, ensuring agreements included all mandatory clauses as per circulars.
- Verified vendor due diligence, annual performance reviews, and risk assessments before and after onboarding.
- Reviewed vendor payments and invoices to confirm rates, approvals, and calculations aligned with agreements.
- Identified control gaps and recommended process improvements to strengthen compliance and transparency.

Sharekhan Ltd.

Feb 2024 - May 2024

Finance Intern

- Acquired foundational knowledge in stock market trading, derivatives, and intraday trading
- Conducted fundamental and technical analysis to evaluate company performance and predict stock trends.
- Supported portfolio building by analysing financial statements and assisting clients with investment decisions.

SKILLS

- Internal Audit & Risk Assessment
- Vendor Due Diligence & Risk Evaluation
- ASBA & IPO Operations Audit
- Fund Flow & Reconciliation Review
- SEBI/RBI Regulatory Compliance
- RBI AML & KYC Awareness

EDUCATION

ICFAI Business School - Jaipur

May 2023 - May 2025

MBA Finance

Meerut College - Meerut

Aug 2018 - Sep 2021

BA

Meerut Public School - Meerut

Apr 2017 - Mar 2018

CBSE (Class XII)