

Shivam



Gurgaon

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EXPERIENCE

→ **04/2022**

Aditya Birla Capital (ABHI)

Assistant manager

Collaborated with internal teams to improve AML compliance processes, enhancing risk mitigation strategies.

Supported internal and external audits by providing documentation and explanations related to AML/KYC reviews.

Investigated alerts generated by transaction monitoring systems (TMS), assessing potential money laundering and fraud risks.

01/21 - 02/22

ICICI Prudential

financial service Manager

Investigated and reported suspicious activity reports (SARs) to regulatory authorities per BSA/AML compliance requirements.

Maintained detailed records of customer verification, account activity, and AML risk assessments for audit purposes.

Assisted in sanctions screening and PEP reviews, ensuring compliance with OFAC, FATF, and other regulatory guidelines.

→ **04/19 - 10/20**

I process services

Senior Executive

Conducted KYC due diligence on individual and corporate clients, ensuring compliance with AML regulations and internal policies.

Performed Enhanced Due Diligence (EDD) on high-risk customers, analyzing complex ownership structures and source of funds.

Monitored and analyzed transactions to identify suspicious activity, escalating potential AML risks for further investigation.

EDUCATION

✓ **2017**

Dr. B.R Ambedkar University

B.A

✓ **2021**

Aktu University

SUMMARY

"Detail-oriented AML/KYC Analyst with 5.6 years of experience in financial crime compliance, risk assessment, and due diligence. Skilled in conducting enhanced due diligence (EDD), transaction monitoring, and regulatory reporting to ensure compliance with global AML and KYC regulations, including the BSA, USA PATRIOT Act, and FATF guidelines. Adept at identifying suspicious activity, mitigating risks, and collaborating with cross-functional teams to strengthen financial crime controls. Strong analytical skills, attention to detail, and the ability to adapt to evolving compliance landscapes."

SKILLS

- KYC & Due Diligence
- CDD
- EDD
- AML Investigations
- Sanctions Screening
- PEP screening
- Regulatory Compliance: BSA, USA PATRIOT Act, FinCEN, FATF
- Data Analysis & Reporting
- Financial Crime Risk Management
- Audit & Documentation: Preparing reports for internal audits and regulatory reviews

TOOLS

RDC

World check

Lexus Nexus

Onfido

Amplitude

Unit 21

Ms office

LANGUAGE

ACHIEVEMENTS & AWARDS

- ✓ Best employee of the month
- ✓ Best employee of the quarter