

SWAPNIL MORE

Financial crime compliance Specialist

 moreswapnil94@gmail.com

 +91-8411878575

 Ravet, Pune

PROFESSIONAL SUMMARY

Experienced Sanctions Screening and Compliance Analyst with 8+ years across global banks including UBS, Credit Suisse, Citi, and TCS. Proficient in SWIFT/SEPA message screening, PAD violations, PEP identification, CMIC trade analysis, and OFAC/UN/EU list reviews. Skilled in reducing false positives and improving screening accuracy through detailed investigations and strong tool proficiency. Adept in platforms like FIRCOSOFT, CSAW, Actimize, and CGI Hotscan. Strong record of mitigating financial crime risks and ensuring global regulatory compliance.

PROFESSIONAL EXPERIENCE

UBS Business Solutions India Pvt Ltd

07/2024 – 06/2025

Authorized Officer – Employee Conflicts of Interest

- Reviewed employee trading requests and disclosures per PAD policies.
- Monitored employee trades against restricted lists to prevent insider trading.
- Investigated violations such as trades without pre-clearance or within blackout periods.
- Handled configuration changes, approval processes, and compliance reporting.

Credit Suisse Services India Pvt Ltd

03/2023 – 05/2024

ENO 3 – Global Sanctions Screening Officer

- Screened SWIFT, SEPA, PACS, PAIN, ISO20022 messages on sanction platforms.
- Analyzed alerts related to PEPs, terrorism, vessels, and financial crime.
- Reviewed and escalated CMIC-related transactions under EO 13959.
- Collaborated with compliance/legal teams to ensure regulatory adherence.
- Utilized tools: FIRCOSOFT, FIDES, CASEPRO, PurpleTRAC, Free Format Swixel.

Citicorp Services India Pvt Ltd (Citi)

08/2022 – 02/2023

Operations Support Specialist – Sanctions Screening

- Investigated alerts at maker-checker level via CSAW and CitiScreening tools.
- Reduced false positives by 30% through refined alert assessment.
- Conducted OFAC and Global List compliance checks and escalations.
- Supported live payment modes (NEFT, RTGS, UPI, IMPS) screening within TAT.
- Worked with ICRM for timely escalations and remediation.

Tata Consultancy Services Ltd – Client: MUFG Bank Ltd

04/2017 – 08/2022

Sanctions Screening Analyst

- Conducted L1 reviews on sanction alerts and SWIFT message screening.
- Ensured regulatory compliance (OFAC, UNSC, EU, APAC) in all flagged transactions.
- Investigated red flags for high-risk individuals, vessels, and financial crime entities.
- Utilized CGI Hotscan for legitimacy checks and detailed screening.

IBM India Pvt Ltd – Client: WellCare (US)

09/2014 – 04/2017

Sr. Practitioner – CRM Operations (Medicare Enrollment)

- Processed healthcare enrollment cases: AOR, POA, reapplications, address updates.
- Validated data in compliance with Medicare regulatory standards.

EDUCATION

Bachelor of science(chemistry)

2013 – 2017

Dr. D.Y.Patil ACS College

CORE SKILLS

<ul style="list-style-type: none">- Sanctions Screening (OFAC, UN, EU, SEBI, FCA)- False Positive Reduction & Alert Optimization- Personal Account Dealing (PAD) & Conflict of Interest Reviews- Screening Platforms: ISO20022, SEPA, NEFT, RTGS, UPI- Regulatory Compliance (US, EU, APAC, SEBI, FCA)	<ul style="list-style-type: none">- SWIFT Payments (MT103, MT202, MT700, MT543)- MX Payments (PACS, PAIN)- PEP & Adverse Media Screening- Tools: FIRCOSOFT, CSAW, Actimize, CGI Hotscan, SQL, PurpleTRAC- CMIC Trade Compliance (EO 13959), AML, KYC/CDD Support- Cross-functional collaboration (Compliance, AML, Legal, Risk)
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ACHIEVEMENTS

Reduced false positives by 30% at Citi through effective screening optimization.

Star of the Month – UBS for performance in ECOI investigations.

Recognized for rapid and accurate case resolution and regulatory adherence.