



RISHI SINGHANIA

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ACADEMIC VIGNETTE

Bachelor of Commerce
University of Burdwan,
Triveni Devi Bhalotia College

CERTIFICATIONS

Prevention of Cyber Crimes &
Fraud Management, 2017 (IIBF)
AML/KYC, 2016 (IIBF)

SKILLSET

Risk Assessment
KYC operations
AML Case Investigations
Banking Operations
Anti-Bribery & Anti-Corruption
Process Improvement
SOP Drafting & Review
Project Management
Training & Mentoring
Independent Testing
IT General Control Testing
Manual Control Testing
SOX 404

PROFILE SUMMARY

Experienced professional with over 12 years in assurance, risk advisory, and consulting, specializing in IT General Controls (ITGC), risk management, and financial crime investigations. Skilled in Independent testing, Change Management, Access Controls, and Segregation of Duties for SOX & Non-SOX clients. Deep expertise in KYC operations, CDD remediation, AML investigations, and fraud analysis, with a strong grasp of securities trading, cash management, and banking operations. Adept at regulatory reporting and compliance, ensuring businesses stay aligned with industry standards and best practices. Known for a detail-oriented approach, problem-solving mindset, and ability to navigate complex financial and regulatory landscapes.

PROFESSIONAL DOSSIER

Deloitte FAS India Pvt. Ltd

29/11/2021 – 26/09/2023

Senior Solution Advisor (Risk & Financial Advisory) – Full time

- Led and managed quality reviews for Forensic & Financial Crimes engagements across diverse sectors and global markets, ensuring compliance with regulatory standards.
- Directed fraud investigations for multinational banks, overseeing teams in identifying fraud patterns, analyzing flagged transactions, and quantifying financial exposure.
- Managed client engagements, providing strategic oversight on financial fraud, AML investigations, ethics violations, FCPA compliance, and fraud risk assessments.
- Evaluated business risks and internal controls, offering recommendations to enhance operational efficiency and mitigate financial crime risks.
- Supervised independent testing of Sarbanes-Oxley and AML programs, ensuring regulatory compliance and adherence to industry best practices.

PricewaterhouseCoopers IAC

10/06/2019 - 27/11/2021

Senior Associate 2 (Experienced) – Full time

- Led and managed IT General Control (ITGC) reviews across key domains, including Change Management, Access Controls, SDLC, and Program Change Controls.
- Evaluated ITGC effectiveness in alignment with SOX, AICPA, and COSO frameworks, ensuring regulatory compliance and risk mitigation.
- Oversaw control testing for Access Controls, Change Management, and SDLC, focusing on Segregation of Duties and security best practices.
- Collaborated with cross-functional teams, including IT departments, compliance units, external auditors, and control owners, to strengthen control environments.
- Managed IT risk assessments, identifying deficiencies, evaluating potential impacts, and developing strategic remediation plans.
- Directed remediation testing, ensuring corrective actions were effectively implemented to mitigate IT control risks.
- Provided leadership and guidance, mentoring teams on IT governance, risk management, and compliance best practices.
- Developed and enhanced ITGC frameworks, implementing process improvements to optimize control effectiveness and operational efficiency.
- Strong understanding of Business Process Cycles, integrating IT risk management into broader organizational processes.

IT/ERP SKILLS

MS Office

Exposure to applications and databases for research such as SAP, PeopleSoft, Detica (Norkom), ECM, Actimize (NICE), Accuity, World Check,

GEOGRAPHIES/MARKETS

North America

Asia Pacific

Europe Middle East Africa

Latin America

LANGUAGES KNOWN

English – Proficient

Hindi – Native

Bengali - Intermediate

Ernst & Young LLP

12/05/2017 - 07/06/2019

Consultant 2 (Assurance Services) – Full time

- Assess AML risk and support implementation for comprehensive monitoring of products, transactions, and customers.
- Design transaction monitoring scenarios, integrating technology insights and AML expertise.
- Oversee PMO functions, including planning, coordination, resource allocation, financials, and change management.
- Conduct compliance reviews on ethics, fraud, and corruption in line with regulations.
- Act as SPOC for project reporting, ensuring updates to senior management and client stakeholders.

Standard Chartered Global Business Services

20/06/2016 – 11/05/2017

Officer (Transaction Monitoring/AML Investigation/FCC Reporting) – Full time

- Manage Regulatory Reporting, SAR Review, KYC/KYCC, and Enhanced Due Diligence.
- Investigate and assess money laundering risks.
- Report suspicious transactions promptly to the country FCC team.
- Provide RFI Group with reports on suspicious activities for customer explanations.
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JPMorgan Chase & Co.

20/07/2015 – 09/06/2016

Senior Specialist (AML Investigations) – Full time

- Analyze key elements of KYC/AML cases.
- Conduct banker outreach for missing KYC data and transaction clarifications.
- Perform internal quality checks and audits.
- Support Risk & Compliance in monitoring and validation.

IndusInd Bank Ltd

02/12/2013 – 26/04/2014

Customer Service Manager (Consumer Banking Operations) – Full time

- Manage Branch Operations and Customer Service.
- Handle LTR, STR, CPV, and Enhanced Due Diligence filings.
- Conduct Concurrent Branch Audits and ensure Risk & Compliance adherence.
- Maintain Relationship Management for a customer portfolio.

HDFC Bank Ltd

15/09/2012 - 31/10/2013

Assistant Manager (Teller & Branch Operations) – Full time

- Manage Cash and non-cash transactions (DD/MC/TC, NEFT, RTGS, Fund Transfers).
- Handle End-of-Day (EOD) reporting, cash position updates, and report generation.
- Conduct transaction monitoring, fraud detection, and file LTR, STR, and EDD reports.

ICICI Bank Ltd.

09/05/2011 – 06/09/2012

Officer Customer Service (Retail Branch Banking) – Full time

- Oversee Branch Operations, Administration, and Onsite ATM Management.
- Ensure KYC compliance and mandatory documentation completion.
- Manage account monitoring, Customer Point Verification (CPV), and timely processing of customer requests.