

## **Sachiin Ganatra**

**Chartered Accountant (India), Certified in Risk and Information Security Controls (USA),**

**Certified Lead Auditor ISO 27001(UK)**

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### **SUMMARY**

- Demonstrated strong leadership skills and headed global roles for 18+ years within Risk, Compliance, Controls, Assurance, Finance and Transformation in financial services in an overall career of 23+ years.
- Established and developed global functional teams within Risk and Compliance, Finance and lead Global Capability Centre (GCC) sites covering Financial Crime Compliance, Regulatory Compliance, Risk and Controls, Finance and risk management for corporate functions, including third-party service delivery operations.
- Lead Global transformation programs, including with industry participation, involving technology development, process automation, implementation of new technology/systems, building GCC sites to exiting locations.
- Lead pioneer work in second line of defence through developing strategy, policy, standards and overall oversight function for Operational risk and Financial Crime risk (including Fraud risk) within the bank to create a strong and rigorous control environment.

### **Functional leadership roles held:**

- Global Head for Regulatory and Compliance operations – a multi-domain global role in the bank encompassing 6 teams within Financial Crime and Regulatory compliance, c800+ staff across 11 countries, managing risk and compliance for 100+ countries across the group.
- Head of Risk and Control, Conduct & Supervision & Head of Client Management – covering Operational Risk, Financial Crime and Regulatory reporting - across banking business (Retail, Commercial/ Corporate, Cards and Investment banking) for global and regional landscape, including managing risk for global third-party suppliers.
- Global Head for Regulatory Compliance – covering various Markets compliance, including Market Abuse, Regulatory Reporting for Substantial Shareholding, Take-Over, Short sell, Mifid, Dodd-Frank & EMIR.
- Finance Risk lead for Global Finance Operations, including Compliance head for SOX compliance and local accounting standards, IAS.

### **PROFESSIONAL EXPERIENCE**

#### **HSBC (EDP) India - July 2022 – till date, Bangalore, India**

##### **Senior Vice President and Global Head of Regulatory Compliance Operations**

Global head for multiple teams across Financial crime and Regulatory Compliance risk, such as Fraud Risk, Anti-Bribery and Corruption, Tax Compliance, Substantial Shareholding [Disclosure of Interest], Market (Abuse) Conduct operations in a group-wide operations role in HSBC (c800 FTE).

- Transformed the global cost base for a fraud detection and prevention function, reduced \$20m (five-year), through consolidation of GCC locations, automation, elimination, and vendor management.
- Leading transformation across multiple services across the teams, including implementation of new systems for Regulatory change, workflow, data analytics and automation across function.
- Enhanced fungibility of resources through process integrations, training, through an uplift of staff capability and roles with better and enhanced operating model and control environment.

**NatWest Holding PLC [Erstwhile RBS PLC] - August 2015 - July 2022, Gurugram, India**

Held three leadership positions in Global Finance, Financial Crime and Operational Risk functions that involved establishing global GCC teams, including leading the Gurgaon site for NatWest Markets Client Ops and Delivery teams.

**1) Director - Risk / Head of Risk and Controls, Conduct & Supervision - NatWest Markets, India - Aug 2020 - Jul 2022**

Lead Risk and Control for Markets business, a suite of risk services such as Operational risk, bank-wide Controls Assurance, Conduct and Supervision for Front office, Middle Office and Back office for NatWest Markets, including representations with the UK and Dutch regulators.

- Transformed Risk and Control stream, including a complex optimisation and integration of risk methodology, and data across multiple legal entities within IB & NatWest Group.
- Transformed Risk Operations, reducing cost of controls through controls optimisation, and front to back risk management of investment banking operations.

**2) Director - Financial Crime / Global Head of Client Management for Financial Crime Operations- NatWest Markets PLC- Apr 2018 - Aug 2020**

Lead a global team of c110+ team members across India, and US managing AML / CDD, ABC and Markets business related regulatory requirements such as EMIR, Dodd Frank, Mifid compliance requirements related for NatWest Markets business.

- Set up and Lead Global Customer Due Diligence (CDD) Operations in India with an extended team in US supporting all CDD operations for NatWest Markets; lead various regulator driven remediation programs (Brexit, and Dutch (Netherlands) regulator).
- Transformed the overall model for Global Client Operation & Delivery Team; integrating global operations (India, UK, US and Netherlands) into a global delivery model, including leading / developing the Gurgaon, India site.

**3) Director - Risk / Head of Risk and Controls - Finance Hub India, Royal Bank of Scotland - Aug 2015 - Mar 2018**

Lead and developed India Operational Risk and Control function (including Information Security risk, Business resilience) for Finance Hub India (FHI), a global function with c900+ finance FTE.

- Developed and enhanced the India Risk team into a Risk and Control Centre of Excellence; developed a global assurance model to drive the Operational Risk and SOX delivery.
- Developed the Risk Culture within Finance; lead the Executive Leadership team for Control Environment and Control Culture transformation.
- Accountable for overseeing India compliance requirements for Finance and Tax for RBS India entity; driving multiple Risk and Control governance forums across Finance and India.

**Barclays Bank PLC - Aug 2008 - Aug 2015**

Held three leadership roles across various risk functions such as Global Fraud, Retail and Commercial business and India entity risk, as GCC was set up in India, Risk function set up business and group.

**1) Head of Fraud Risk Assurance - Financial Crime, Barclays Group PLC, Apr 2013 - Aug 2015, London - UK**

- Established and lead bank-wide, the Group Assurance & Governance for Fraud Risk within the Financial Crime for Barclays Bank for Retail, Corporate, Investment, Card & Functions.

- Defined the strategy, methodology and Global Fraud Risk Assurance framework to monitor the fraud risk control environment across the bank for the Group Head of Fraud.

**2) Head of Risk and Controls Assurance – Barclays Retail & Business Bank, Oct 2010 – Mar 2013, Noida, India**

- Established and lead a multi-domain Risk function for Retail and Commercial bank business across 25 countries, focusing on Middle East, Africa, UK and Europe markets.
- Managed Risk and Compliance for processes outsourced to third party suppliers (HP, Teleperformance and Serco) – c15000+ staff located across 8 locations in Europe, Asia, Africa and Middle East, ensuring compliance with contractual and processes requirements.

**3) Sr. Manager Risk and Governance – Barclays Shared Services, Global Operations, Aug 2008 – Sep 2010, Noida, India**

- Lead Risk and Governance for Enterprise-wide risk management encompassing Operational risk for business processes and central functions, Financial crime and regulatory compliances for Barclays Shared Services, including the India entity.
- Implemented the Anti-Bribery and Corruption act of UK, Compliance and Corporate policies, lead the internal audit for ISO 27001 standard for Information Security. Was the India entity Financial crime and Whistleblower office (incl. investigations for conduct).

**Thomson Reuters, Aug 2006 - Aug 2008, Bangalore India**

**Service Delivery Leader, Compliance and Assurance, Finance and Accounting Services**

- Established and headed Compliance and Assurance function for Reuters service delivery centres across USA, Europe and Asia for SOX provisions and Corporate policies.
- Transformation for Compliance function for Thomson Reuters, integrating controls within SAP and Oracle platform and merged the Compliance assurance vertical with Internal audit.
- Established Global Performance Management and Reporting to measure and report the functional performance for Global Finance and accounting teams.

**Agilent Technologies, Dec 2003 – Jul 2006, Gurgaon, India**

**Business Process Analyst, Accounting Services**

- Lead compliance and governance stream for SOX processes in global accounting services to comply with SOX controls, Group policies and operational requirements.
- Lead Accounts Payable Accounting Operations for Europe; supervised a team involved in Accounts payable process processing, undertook various projects involving improvements.

**GE Countrywide, Nov 2002 – Dec 2003, Gurgaon, India, Team leader, Accounting Operations**

- Supervised treasury accounting operations and accounts payable for India-wide operations with a 10-member team in a central accounting services team across accounting operations.

**CA Training (May 1998- Apr 2001)**

**Ravi Chopra & Associates, Chartered Accountants, May 2001- Oct 2002**

**Saluja & Associates, Chartered Accountants, May 1997 – Apr 1998**

- Lead audits for clients in financial services (bank audits) and manufacturing sector, involved in audit planning, scoping, fieldwork and report issuance.
- Preparation of Tax Audit Report as per the Income Tax Act for Companies