

# Rumi Guha

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Dynamic and highly experienced professional with 14 years of dedicated expertise in AML compliance, sanctions, and geographic risk management. Proven success in designing and enforcing robust AML programs, executing sanctions screening processes, and evaluating geographic risk factors. Recognized as an expert in the complete KYC and customer due diligence spectrum, adept at leading teams and managing complex compliance projects effectively.

## Core Competencies

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Industry Knowledge & Domain Expertise: AML Compliance, KYC, Tax Compliance

Leadership & Management: Team Leadership, Mentorship

Analytical & Strategic Skills: Analytical Thinking, Documentation Management, Customer Relationship Management

Communication & Interpersonal Skills: Client Engagement, Advisory Support

## Work Experience

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### **Process Advisory Lead – AML/KYC / Risk Compliance at HSBC Electronic Data Processing**

(Oct 2020 - Present)

- Led a team of 15 analysts and 5 senior analysts, ensuring the achievement of monthly Key Risk Indicators (KRIs) and Key Customer Indicators (KCIs) while maintaining excellent customer experience.
- Spearheaded the implementation of policies, procedures, and system enhancements across diverse teams to ensure compliance with AML regulations.
- Support strategic initiatives by leading the deployment of consistent standards for the MENACLM team, improving overall operational efficiency.
- Collaborate with cross-functional teams to manage process changes, providing expert advisory on compliance standards and best practices.
- Facilitate training sessions to enhance team knowledge on AML/KYC methodologies and risk mitigation strategies.

### **Senior Analyst – AML/KYC / Risk Compliance at HSBC Electronic Data Processing**

(Dec 2016 - Sep 2020)

- Conducted primary and secondary research to support KYC initiatives, ensuring robust onboarding and remediation processes for a diverse client portfolio.
- Accurately obtained and updated comprehensive client documentation utilizing insights from various business intelligence sources.
- Played a critical role in enhancing client due diligence procedures, contributing to the overall effectiveness of AML compliance efforts.

### **Senior Tax Associate – (US Corporate Tax) at KPMG Global Services**

(Feb 2016 - Sep 2016)

- Reviewed and analyzed a variety of federal and state tax returns to ensure compliance and accuracy, providing mentorship to junior associates.
- Managed a team of three associates, coordinating tasks to meet tight deadlines while maintaining high-quality standards.

### **Associate at BT Eserve India Pvt Ltd.**

(Sep 2015 - Feb 2016)

- Prepared invoices for corporate clients, ensuring accuracy and timeliness while addressing customer inquiries regarding billing.

### **Tax Associate – (US Corporate Tax) at Price WaterHouse Coopers (SDC)**

(Jul 2010 - Sep 2015)

- Prepared various federal and state tax returns, leveraging advanced tax software to streamline reporting processes and enhance accuracy.
- Collaborated with team members to improve operational workflows and ensure timely submission of all documents.

## Projects

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### Working Capital Management

- Analyzed and assessed changes in working capital over a five-year period, identifying key drivers of variation and their impact on financial health.

### Risk Taking Appetite of Nirmal Bang's Client

- Conducted an in-depth analysis of client risk profiles to determine investment suitability based on identified risk appetites and preferred communication channels.

## Education

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Punjab Technical University (2010)  
Masters in Business Administration in Finance

International School of Business, Kolkata (2010)  
Post Graduate Diploma In Business Management in Finance

South City College, Calcutta University (2007)  
Bachelor of Commerce (Hons- Financial Accounting)

