



AKSHIT PAREEK

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Summary

To work in an organization which draws upon my educational qualifications and provides Professional work environment along with opportunities for continuous learning, challenge and Career growth. To be truthful for the organization and obey the integrity policy of the company And to deliver the desired result for the company has chosen me for my work. To prove the Company by becoming a valuable asset to the organization.

A self-motivated professional with overall 13 years of experience in KYC and Transaction monitoring. Reliable and Responsible. Excellent communication and interpersonal skills and proven abilities in MS Excel, Client Servicing and Target achievements. Fast Learner with ability to provide process improvement ideas. Adaptable as per requirements of the workplace. Proven ability to take direction, multitasks and work under pressure.

Skills

- KYC
- Transaction monitoring
- Communication skills
- Interpersonal skills
- MS Excel
- Client Servicing
- Target achievements
- Process improvement
- Adaptability
- Multitasking
- Ability to work under pressure

Experience

Deutsche India Pvt Limited | Jaipur
AVP
11/2013 - Current

- Being into supervisory role I am currently taking care of below tasks.
- Managing a team with 20 direct reportee including 4 Associates(TL) with overall 100+ FTE team as part of New client Onboarding team.
- Preparing and publishing daily MIS reports of the team.
- Responsible to perform KYC Due diligence as per SDD/CDD/EDD Standards basis the clients risk rating.
- Performing quality check for business and client outreach email for outstanding KYC data points.
- Performing Quality checks on the volume processed by my team members.
- Taking care of trainings of new joiners and refresher trainings for all existing team members in regards to the due diligence requirements.
- Coordinate with business and onshore team to collect the missing documents.
- Coordinate with other stakeholders AFC/ABC/BRG as per the due diligence requirements.
- Preparing and publishing Monthly PMI reports of every individual team member, which consists individual performance and ranking and rating on a monthly basis.
- Served as Subject Matter Expert (SME) for makers and point of contact for process related queries with the goal of improving the contractual SLA's.
- Conduct trainings, random monitoring identifying training requirement and bringing them to management notice.
- Perform End to End KYC, Anti Money Laundering checks and MiFID Test

(UK), FATCA, Dodd Frank, EMIR on a diverse range of institutional customers, ensuring the Bank's KYC and MiFID Test procedures are made in strict accordance with regulatory requirements of FSA (UK) and the bank's internal policies.

- Reviewing Regulated, Listed, Sub of Listed, Private entities, Government bodies, SPVs, Funds, Trusts entities.
- Conducting various prevention checks (Anti-Money Laundering) and MiFID checks to verify the credibility of the counterparty.
- Comprehensive knowledge of PEP Checks, 3rd EU requirements & MiFID classification.
- Performing background checks for clients through PCR, Lexis Nexis and FACTIVA.
- Liaising with Client for procurement of documents / information for setting up of trading accounts for various products like Cash equities, fixed income, Loan, Derivatives.
- Escalation of high risk/negative information in accordance with DB policies to AML Compliance.
- Maintain KYC / Customer Identification Program ('CIP') / Tax Files to ensure compliance with laws of relevant jurisdiction as well as DB policies.
- Liaise with the AML and Advisory compliance for adopting high risk clients.
- Managing changes related to Dodd Frank - Implications and Reporting.
- Managing changes related to EMIR - Implications and Reporting.
- Run exception report and conditional approval report to mitigate regulatory risk.
- Maintaining SLA and Checklist for the process.
- Handling Sensitive Sales escalations related to client adoption on behalf of the team.
- Assisting in daily priority call /work allocation to team members.
- Part of Returns Call (Downstream Team returns IMS returns, Paragon Returns).
- Complying all the regulatory requirements such as MIFID, Dodd Frank, FATCA, EMIR.
- Involved in UAT Testing of different process related applications.
- Awarded as 'Employee of the Month' in August'14 for attaining 100% quality across locations.
- Awarded as 'Employee of the Month' in the month of February'16 for being the Pillar of the team in terms of productivity and quality, managing escalations and queries of the team members, providing training to new joiners of the process, and sustainable performance.
- Awarded with the 'Spot Award' (Nov '15) for achieving the leadership role and assisting team in handling escalations successfully and delivering effective and timely results.
- Awarded as 'Employee of the Month' in August'17 for 100% quality across locations.
- Awarded as 'All rounder of the year' for 2018 for performing various activities at site level.
- Played 4 corporate cricket tournaments.
- Worked on a project with Deutsche bank AG (From London branch in 2019).

Fraud Analyst
09/2012 - 11/2013

Genpact ltd.
Process Associate
12/2010 - 08/2012

Education and Training

Rajasthan University
B.Com(Hons)
01/2011

Maheshwari Public School | Jaipur
Senior Secondary
04/2007 - 03/2008

Profile And Skill Set Summary

- A self-motivated professional with overall 13 years of experience in KYC and Transaction monitoring.
- Reliable and Responsible.
- Excellent communication and interpersonal skills and proven abilities in MS Excel, Client Servicing and Target achievements.
- Fast Learner with ability to provide process improvement ideas.
- Adaptable as per requirements of the workplace.
- Proven ability to take direction, multitask and work under pressure.

Languages

- English
- Hindi

Career Contour

DBOI Global Services Pvt Ltd (Deutsche Bank AG), AVP (Client On Boarding COB - New Client Adoption), Preparing and publishing daily MIS reports of the team., Performing Quality checks on the volume processed by my team members., Taking care of trainings of new joiners and refresher trainings for all existing team members., Maintaining daily trackers of team, leave trackers, daily productivity, etc., Preparing and publishing Monthly PMI reports of every individual team member, which consists individual performance and ranking and rating on a monthly basis., Served as Subject Matter Expert (SME) for makers and point of contact for process related queries with the goal of improving the contractual SLA's., Conduct trainings, random monitoring identifying training requirement and bringing them to management notice., Perform End to End KYC, Anti Money Laundering checks and MiFID Test (UK), FATCA, Dodd Frank, EMIR on a diverse range of institutional customers, ensuring the Bank's KYC and MiFID Test procedures are made in strict accordance with regulatory requirements of FSA (UK) and the bank's internal policies., Reviewing Regulated, Listed, Sub of Listed, Private entities, Government bodies, SPVs, Funds, Trusts entities., Conducting various prevention checks (Anti-Money Laundering) and MiFID checks to verify the credibility of the counterparty., Comprehensive knowledge of PEP Checks, 3rd EU requirements & MiFID classification., Performing background checks for clients through PCR, Lexis Nexis and FACTIVA., Liaising with Client for procurement of documents / information for setting up of trading accounts for various products like Cash equities, fixed income, Loan, Derivatives., Escalation of high risk/negative information in accordance with DB policies to AML Compliance., Maintain KYC / Customer Identification Program ('CIP') / Tax Files to ensure compliance with laws of relevant jurisdiction as well as DB policies., Liaise with the AML and Advisory compliance for adopting high risk clients., Managing changes related to Dodd Frank - Implications and Reporting., Managing changes related to EMIR - Implications and Reporting., Run exception report and conditional approval report to mitigate regulatory risk., Maintaining SLA and Checklist for the process., Handling Sensitive Sales escalations related to client adoption on behalf of the team., Assisting in daily priority call/work allocation to team members., Part of Returns Call (Downstream Team returns IMS returns, Paragon Returns)., Complying all the regulatory requirements such as

Personal Information

- Father's Name: Mr. Ramesh Pareek
- Mother's Name: Mrs. Shardha Pareek
- Date of Birth: 12/02/90
- Gender: Male
- Nationality: Indian
- Marital Status: Married

Languages

English:

A1

 Beginner