

Shiva Prasad SHETTIGAR

KYC | AML | Risk & Compliance | Client On-boarding & Management | People Manager

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ABOUT ME

KYC, AML, and Financial Crime Compliance professional with 11+ years of experience in Corporate CDD, Client On-boarding, Transaction Monitoring, Sanctions & PEP Screening, and Payments Operations within global banking environments. Strong expertise in risk assessment, regulatory compliance, audit readiness, and stakeholder management. Proven leader with experience in team management, SLA governance, and process optimization. Seeking Manager-level roles in KYC, AML, Compliance, Risk, or Payments Operations in Banking and Financial Services.

WORK EXPERIENCE

Client Manager - CDD, HSBC Electronic Data Processing India Pvt. Ltd

09/2023 – Present
Bangalore, India

- Managed end-to-end Client Due Diligence (CDD) and onboarding for corporate clients, ensuring compliance with global AML and regulatory frameworks.
- Reviewed and validated KYC documentation, conducted Financial Crime Risk Reviews (FCRR), and performed client risk assessments.
- Oversaw transaction monitoring activities, analyzed unusual patterns, and escalated suspicious cases in line with AML policies.
- Acted as key liaison between Relationship Managers, Compliance, and clients to resolve onboarding and regulatory queries within SLA.
- Ensured accurate maintenance of client profiles, risk ratings, and compliance records to support audit and regulatory inspections.
- Managed escalations, monitored onboarding pipelines, and maintained service delivery standards across multiple stakeholders.
- Contributed to process optimization initiatives to enhance onboarding efficiency, strengthen controls, and reduce compliance risk.

Team Leader, KPMG

07/2022 – 08/2023
Bengaluru, India

- Led a team responsible for executing Customer Identification Program (CIP) and screening processes for corporate and institutional clients.
- Oversaw end-to-end client on-boarding including identity verification, beneficial ownership analysis, and risk classification.
- Conducted secondary quality checks on CIP (Customer Identification Program) processes and AML name-screening outputs to ensure alert accuracy and completeness.
- Established quality control metrics (QA scores, error rates, trend analysis) and shared insights with management to drive process improvement and compliance adherence..
- Monitored team performance, maintained SLA compliance, and delivered MIS reports on on-boarding pipelines, alert volumes, and quality metrics.
- Trained and mentored team members on AML regulations, screening procedures, and best practices to drive process efficiency and accuracy.

<p>Lead - Customer Experience Coach (L&D), Instakart Services Pvt. Ltd. (Flipkart)</p> <ul style="list-style-type: none"> • Led training and onboarding programs for field teams ensuring SOP and process adherence. • Managed customer experience metrics, audit compliance, and escalation handling across multiple hubs. • Conducted performance reviews, root cause analysis (RCA), and quality monitoring. • Supported HR coordination, employee engagement, and operational governance. • Ensured adherence to safety, hygiene, and operational standards across hubs. 	<p>08/2021 – 07/2022 Manipal, India</p>
<p>Assistant Manager in Operation, HSBC Electronic Data Processing India Pvt. Ltd</p> <ul style="list-style-type: none"> • Managed end-to-end domestic and international payment operations including ACH, GPB, and wire transfers for US & Canada corridors. • Supervised transaction processing, clearing, settlement, and reconciliation activities ensuring SLA adherence and regulatory compliance. • Led a team of analysts, handled escalations, and ensured accuracy in high-volume payment workflows. • Monitored real-time payments and supported implementation of enhanced payment processing architecture and controls. • Coordinated with Compliance, Risk, and Audit teams to ensure strong operational risk management and internal control frameworks. • Analyzed KPIs and generated MIS reports for senior leadership to track payment volumes, error rates, and performance metrics. • Drove process improvements and automation initiatives to enhance efficiency, reduce manual errors, and strengthen control mechanisms. 	<p>07/2020 – 06/2021 Bangalore, India</p>
<p>KYC Analyst, HSBC Electronic Data Processing India Pvt. Ltd</p> <ul style="list-style-type: none"> • Performed sanctions, PEP, adverse media, and special interest entity screening for Corporate & FIG clients in line with Global Screening Procedures. • Reviewed and dispositioned alerts generated through World-Check and RDC, documenting clear rationale as per AML policy standards. • Conducted detailed due diligence using reliable public sources and internal systems to validate client information. • Escalated high-risk or adverse findings to KYC Advisory and Compliance teams for further review and regulatory action. • Collaborated with Front Office and Client Owners to investigate discrepancies and resolve screening queries. • Managed alert case pipeline efficiently to ensure SLA adherence, quality standards, and timely completion of reviews. • Maintained accurate documentation and ensured full compliance with internal policies, regulatory requirements, and audit expectations. 	<p>08/2018 – 07/2020 Bangalore, India</p>
<p>US IT Recruiter, Finezi Technologies</p> <ul style="list-style-type: none"> • Managed end-to-end recruitment life-cycle including sourcing, screening, and candidate placement. • Used Boolean search techniques across job portals for IT hiring. • Coordinated interviews, negotiations, and offer closures. • Handled high-volume hiring and client communication. • Maintained recruitment MIS and ensured timely fulfillment of requirements. 	<p>02/2018 – 06/2018 Udupi, India</p>
<p>Team Leader, Flipkart Internet Private Limited</p> <ul style="list-style-type: none"> • Managed outbound delivery operations and supervised team performance. • Monitored MIS reports, quality audits, and operational KPIs. • Handled HR coordination including hiring, onboarding, and payroll queries. 	<p>09/2014 – 11/2017 Manipal, India</p>

- Ensured customer satisfaction through issue resolution and process control.
- Acted as OIC in absence of Hub Manager, overseeing complete hub operations.

EDUCATION AND TRAINING

Bachelor of Commerce (B.Com), <i>Mahatma Gandhi Memorial College, Kunjibettu - Udupi (Mangalore University)</i>	06/2011 – 06/2014 India
Certificate Course in Computer Network Simulation Examination, <i>Mangalore University</i>	07/2011 – 08/2012 India
Diploma in Computer Application, <i>Ameya Computer Education</i>	12/2010 – 05/2011 udupi, India

Skills

Technical & Functional Skills

- Client Due Diligence (CDD)
- Know Your Customer (KYC) Compliance
- Anti-Money Laundering (AML)
- Customer Identification Program (CIP)
- Transaction Monitoring
- Sanctions & PEP Screening
- Financial Crime Risk Review (FCRR)
- Wire Transfers (ACH, GPB, GFT)
- Regulatory Compliance (FATCA, OFAC, etc.)
- Risk Assessment & Mitigation
- Screening Tools (World-Check, RDC)
- Payment Operations & Reconciliation
- Audit Readiness & Documentation Control

Tools & Technology

- Microsoft Excel (Pivot Tables, VLOOKUP)
- Microsoft Word & PowerPoint
- ERP Systems (Payments, Logistics Ops)
- Screening Databases (World-Check, RDC)
- SuccessFactors (HRIS)
- Tally ERP9

Management & Reporting

- SLA & TAT Management
- Operational Risk Management
- Management Information System (MIS) Reporting
- Team Leadership & Staff Training
- Quality Assurance & Control
- Stakeholder & Relationship Management
- Escalation Handling & Resolution

Soft Skills

- Communication & Interpersonal Skills
- Decision Making & Problem Solving
- Time Management & Prioritization
- Adaptability & Flexibility
- Team Collaboration
- Analytical Thinking
- Customer-Centric Approach

Languages Known:

- English
- Hindi
- Kannada
- Tulu