

SALEEM SALAM BASHA

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CAREER OBJECTIVE

To shape my career with growing responsibilities which will encourage me to be innovative in my work and give the best of my abilities to the organization

ACADEMIC QUALIFICATIONS

MBA in Finance from SIMS College, Mangalore University, MANGALORE Duration
2006 – 2008; Aggregate Percentage – **67%**

CAREER SUMMARY - Total Work experience – 12 years and 9 months (as dated Mar'21)

Breakup of experience -

ANZ – 8 years and 11 months, HSBC – 1 year and 9 months and currently at State Street Corporate Services Pvt. Ltd – 2 years and 1 month as on March 2021

Specialized or Experienced in

Control Testing, Risk and Controls Review, Managing and Developing Policies and Framework, Risk and Assurance, SOP Reviews, Operational Risk and Compliance, Risk Assessments, Risk Reporting, Risk Profiling, Business Continuity Management, Process documentation, Management packs reporting, MIS reporting, Compliance Risk and Breaches Monitoring,

Transition Management, Internal Audits, Vendor Management, People Management, Operations, Supporting with end to end Risk and Compliance activities for BOaT (Business On-boarding and Transition) and AML / KYC.

Current Working Experience and Location - BANGALORE

State Street Corporate Services Pvt. Ltd – Bangalore – Feb 2019 Till Date – 2 years and 1 month

Risk and Compliance Manager

As the Business Risk and Compliance Manager's primary responsibilities managed by me are:

- Support the BOaT business in Onboarding and Transition and AML / KYC
- Control Reviews and recommendations to Business

- **Host Bi-Weekly Action to Prevent Reoccurrence Meetings and minute with agreed Plan of Action with SVP**
- Support the Compliance Pillar by reviewing core policies and implementing controls and ongoing management of control environments
- Develop, analyze and deliver management reports for senior management and Risk Committees.
- Participate and lead risk and compliance committees and working groups and manage related activities
- Monitor the timely completion of risk and compliance issues with assigned business units and ensure actions are taken through remediation by responsible parties
- Strengthen the collaboration and coordination between the various FLOD, SME's Compliance, Risk, and Legal teams, to achieve effective delivery of controls, and control related strategic change.
- Serve as BOaT business team SME for key policies and advise the BOaT business unit as needed
- Build BOaT business knowledge of regulatory, operational and technical components to support the performance of BOaT controls
- Support project management and serve as BOaT contact for key initiatives
- Regularly attend Global Process Delivery – Risk and Compliance Working team and governance meetings
- Managing Headcount of the department and reporting it to Management to ensure the cost is managed
- SOPs, Audit Issues and Incidents monitoring of my department to adhere Compliance

HSBC Electronic Data Processing (India) Pvt. Ltd.

Department – [Controls and Conduct MI](#)

Designation – **Associate (Assistant Manager)** – May 2017 to Feb 2019

Job Description:

Controls MI supports the Global Markets Management by way of producing Management Packs representing the Conduct risks, Business Area issues / risks through the Conduct MI, Business Control Committee and Global FX packs.

Ensuring the Global Market relevant functions / business can operate within the desired controls environment.

The preparation and presentation of these packs / dashboards are on MS Power Point and PDF files. Support required by working on MS EXCEL for data consolidation, graphical presentation and calculations.

Reporting Activities

The monthly packs prepared for the GM Management controls monitoring:

- Conduct Risk Metrics Pack (Global, Regional and Country packs – **Total 52 packs**) - Global FX Cash BCC, Commodities BCC, Asia, Americas, BRSC, eRisk packs etc.

All the scheduled meetings to be attended monthly with the Global & Regional Heads and the associated committee members ensuring to build up healthy Stakeholder Management.

- Achievements: -
 - Started with Conduct MI in May 2017 and had a situation in the month of August 2017 to work on 52 packs of Conduct MI end to end as the main source of the team was not available
 - I did take this as an opportunity and worked towards achieving the set activities within the prescribed timelines
 - The Conduct Governance session with the London counterparts went through smoothly and received positive feedback from the onshore stakeholders (including Global CCO Markets)
 - Improvised consistently on the set benchmark by self and took up more responsibilities and got cross trained on other internal processes for multiple packs generation
- Additional Activities/responsibilities: -
 - Process Documentation – Drafting, Onshore review and signoff from respective Heads
 - Adhoc packs or reports assistance to London counterparts
 - Monthly discussions with Onshore apart from the regular monthly meetings to improvise on the packs data presentation and collation

Last/Past Work Experience (June 2008 to May 2017 - Total 8 years and 11 months)

ANZ (Australia New Zealand Bank Support Services India)

Department: Assurance

Designation: Operations Risk Specialist – Since July 2015 (1 year and 2 months experience)

Job Description (Assurance):-

Risk Management Framework helps to identify, measure, evaluate, monitor, report and control or mitigate material risks. In this role, had worked towards achieving the RMF by producing the RMF packs at the Bangalore Hub level and at the Group Hubs level, Key Control Testing at both hubs level and Transitions Review from Assurance perspective for COO's approval.

Reporting Activities

Risk Management Forum pack monthly:

- Coordinating with all the functions across ANZ Bangalore for the data required to be showcased in the RMF
- Review each and every data point and go back to the business for any rectification/clarification
- Consolidate the details in RMF pack and get reviewed by Head of Assurance to circulate the pack to ANZ Bangalore IMT
- RMF presentation by MD for the BU Heads to take actions/decision

Group Hubs RMF pack:

- Similar activities are involved as above but few of the data points provided are different to RMF pack
- Consolidate the details in GHRMF pack and get reviewed by Head of Assurance and share it with Manila for Group Hubs data consolidation
- GHRMF pack is presented at Group Hubs level

- **Key Control Testing for Central Functions, Bangalore Hub**
- Risk Awareness for Bangalore Hub
- Operations Loss Reconciliation report for Bangalore Hub
- Clear Desk Audit for Central Functions and reporting for Bangalore Hub (Quarterly)
- Transitions Review for Bangalore Hub – Transition Plan and Production Readiness Checks
- Compliance Operational Risk Platform/Portal updates – KCT details/results, Risks and Controls, BEICFs, Key Risk Indicators and review on Events and Reportable Events under Bangalore Hub queue
- Additional Activities/responsibilities: -
 - Risk Profiling discussion with Central Function teams
 - Group Hubs fortnightly discussion for Assurance activities
 - Transitions assessment by liaising with the business managers or Transition Leads
 - Consolidating the team updates weekly and sharing with Head of Assurance
 - Business Continuity Management for Assurance function

ANZ SUPPORT SERVICES INDIA

Department: [India Business Services](#)

Designation: [Officer Campus Assist](#) – Mar 2012 to June 2015 - 3 years and 3 months experience

Job Description (Campus Assist):-

- Managing a team of six members and reporting to Manager
- Campus Assist Dashboard – Central Function department includes 6 Functions where I manage the reporting part for IBS department
- Preparation of Invoices and submitting to GAP team for the payment of Stationery, Business Cards and Non – contract items to the vendors
- Invoice Management – Stationery Invoice, Business card Invoice, Printer Cartridge Invoice for both OT and SSI location is managed completely by myself
- Assisting the team with the process related queries and coaching them
- Assisting Manager with the daily activities in handling escalations, attending important meetings, vendor performance meetings, reporting through excel, liaising with Operations teams to get the work done successfully etc.
- As the team works round the clock, I used to chair the team meetings on conference call with the whole team and guiding them with do's and don'ts along with the updates and changes

Australian Operations - June 2008 to Feb 2012 (3 Years and 8 months experience)

Department: [Transaction Services](#) (Australia Operations)

Designation: [Mortgages Officer](#) (From May 2009 to February 2012)

Job Description (Mortgage Accounting):-

- Fee posting process documentation done for further reference to new comers or verification of the process. Cross skilled in other process too to assist.
- Working on QC for the Mortgage Accounting Team, handling Customer Complaints and Meetings with Offshore staff regarding Process issues if required.
- Assisting the team as Coach & handling the escalations

- Assisting Production Lead & Manager with the daily activities in planning & allocation of work, EOD counts etc.
- Risk or Audit check for the process was taken care by me as I was a senior officer for the process we worked on

Department: [Transaction Services](#) (Australia Operations)

Designation: [Analyst](#) (From June 2008 to May 2009)

Job Description (Statements Management):-

1. Work within a defined process & procedure and 7 year statutory limits to action requests from customers for statements
2. Have primary responsibility to action urgent and non urgent Statement requests in the CARbe Statements queue and charging the appropriate fees to the customer's account

Applications Knowledge: -

Helios, ICAMS, SharePoint, COR, CAP, CARbe, CACHE, MOS, SMA, DOCU PREP System, INTEGRITY, VISUAL, WEB VOUCHER, SAI GLOBAL System, Webex, Peoplesoft – Service Desk Tool, OUTLOOK, MS-OFFICE TOOLS etc.

ACHIEVEMENTS

1. Won the award for IBS department in quarterly Rewards and Recognitions program for the month of September 2012
2. Top performer in Transaction Services [Statements Team] for July, 2009
3. Growth within 1 year of joining to Australian Operations due to high and consistent performance

PERSONAL STRENGTHS

- Strong analytical & presentation skills with excellent communication
- Commitment towards work & enthusiastic to learn more
- Providing process improvement ideas on a regular basis
- Ability to handle pressure in the challenging situations
- Good Team Player in process related and non-process related

DECLARATION

I hereby declare that the above-mentioned information is correct up to my knowledge and I bear the responsibility for the correctness of the above-mentioned particulars.

Place: Bangalore

(SALEEM SALAM BASHA)