

SURESH KUMAR

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Career Objective:

To meet the organizational goals by working proactively in synergy with team members that would facilitate the maximum utilization and application of my skills and expertise in making a positive difference to the organization.

Current Experience:

Worked as “**Compliance Business Analyst**” in Investment Compliance department with **Franklin Templeton International Services India Pvt Ltd** from 11-May-2020 to 29-Jan-2021

Roles & Responsibilities:

- ✓ Monitor compliance breaches of Canadian Retail, Institutional, Model, Sub-Advised funds using Charles River application.
- ✓ Monitoring the funds activity to check if it is adhering to the regulatory, Client, Internal company guidelines through reviewing prospectus, investment guidelines.
- ✓ Clearing Pre-Trade and Post-Trade compliance Alerts using all the research tools like Bloomberg, Business objects, Charles River, G-max, Onetis, Axys etc.
- ✓ Sending email notifications to Portfolio Manager’s whenever the funds are out of compliance, follow up on timely basis until the corrective action is taken and fund is back in compliance.
- ✓ Handling complete account maintenance of 74 Canadian funds from a compliance perspective.
- ✓ Certifying institutional and high net worth clients on monthly & quarterly basis.
- ✓ Maintaining FTCC accounts, setting up the accounts in Charles River with Asset mix information on bi-weekly basis and monitor these accounts.
- ✓ Communicate with global counterparts/Portfolio Managers/ Traders on a daily basis.
- ✓ Assist in fund launch activity and get the Test setup updated in the Charles River system and continue to monitor the fund maintenance activity.
- ✓ Work on team administration tasks, ensure documentation and procedures are maintained and kept up to date.

Previous Experience:

Worked as a **Senior Analyst** in Risk & Brand Protection department with **Deloitte Support Services India Private limited** from 01-Mar-2016 to 17-April-2020.

Roles & Responsibilities:

- ✓ Responsible for strategic, confidential and regulatory driven operations including independence assurance of the firm.
- ✓ Trained new joiners regarding KYC, client data verification through conducting research and presenting information to Lead Client Service Partners (Engagement partners).
- ✓ Reviewed the work of team members in ensuring quality assurance of their work is maintained as per company policy.
- ✓ Conducted quality check by reviewing the reports prepared by analysts to ensure the reports are comprehensive, compliant and suitable for use in the client on-boarding decision-making processes.
- ✓ Performed KYC (due diligence) during client on boarding process.
- ✓ In each of the KYC record the parameters captured were Legal names, Alias names, Legal/Registered address, physical addresses, country of domicile of entity, country and date of formation of entity, Identify source of capital, Identify source of funds, entity type (public, private or Government), NAICS codes, Geographical location of entity and its subsidiaries and significant operating countries, major clients, products and services, business description, ownership structure, key controllers, account controllers, and total annual revenues and total assets.
- ✓ Also performed research in the databases like (Hoovers, Merger Market, Bloomberg, D&B, World-Check, LexisNexis, Factiva, US SEC, etc.,) and identify any derogatory information like Bankruptcy, Lawsuits, Fraudulent Activities, Money Laundering activities, etc.,
- ✓ Also performed research on business activities of the (Parent Company/Major Shareholders) and their Company's Key Management Personnel like President, Chief Executive Officer, Chief Financial Officer etc., i.e. C-level Executives. Identified if there were any PEP's and High-risk PEP's.
- ✓ Prepared KYC Risk Summary Report, in case of any material negative news in the screening process, tried to mitigate the risk.
- ✓ Based on the KYC Risk summary report findings Director decides whether to proceed with the client engagement or not.
- ✓ The purpose of doing research is to maintain the KYC records and to ensure Deloitte's Reputation without any Risk by maintaining 100% quality.

- ✓ Apart from new client on boarding process, periodic renewal process of clients is conducted to maintain the best Independence assurance of the firm.
- ✓ Periodic renewals were conducted based on risk rating of the clients the purpose of doing research is in order to maintain the KYC records and to ensure Deloitte's Reputation without any Risk by maintaining 100% quality.

Additional Activities and Achievements:

- ❖ I have received 5 Spot awards till date.
- ❖ Handled Fun Committee activities for a year.
- ❖ Conducted process trainings for new hires.
- ❖ Volunteered for Family day, DEGP, Impact Day events.
- ❖ Was part of 10k run and team sports activities.

Previous Experience:

Worked as Process Developer for IDCO client with **Genpact** from 03-Sep-2014 to 29-Feb-2016.

Roles & Responsibilities:

- ✓ Worked on thousands of spinoff reports which consists of SEDOLs and ISINs and researching on securities like Bonds, Equities, Funds etc. by using tools like Ex-share and Bond eye and also searching pricing information ,ticker codes, security descriptions in particular stock exchanges (Borse Berlin, LSE, Luxemburg, Asx, Stuttgart, Swiss Exchange, Borse Frankfurt etc.)
- ✓ Working on derivative maintenance for markets like Euronext (Paris, Amsterdam, Brussels), Eurex, Ice Futures.
- ✓ Working on announcements for corporate actions and taking required action.
- ✓ Analyzing and classifying the planet press reports into excel format, using v-lookups, delimit, fixed width, concatenate, trim, paste, special etc.
- ✓ Checking, editing & approving data supplied from external sources to ensure it meets set standards.
- ✓ Run reports via SQL query.

Previous Experience:

Worked as a Research Analyst at Factset Research Systems from 23-July-2012 to 29-Aug-2014.

Roles & Responsibilities:

- ✓ Worked on United States companies 10K, 10Q, 8K fillings.
- ✓ Analyze easy-to-read reports with information on thousands of public and private companies and private equity firms, including company descriptions, business segments, size, market performance, summary financials, events, deal history, ownership, private equity holdings, and key executives.
- ✓ We share, track, and organize investment ideas across our research team. Measure the effectiveness and profitability of ideas from team, individual with performance reports.
- ✓ After all the research we parse all the main statements financial information of the company i.e. Income statement, Balance sheet, Cash flow and also Per share information into our Superfast tool and make all the information available to the client in brief.

Academic qualifications:

Year	University / Board	Qualification	Percentage
2012	M.V.S.R Engineering College(Osmania University)	MBA Finance	70%
2010	Meghana Degree College, Affiliated to Osmania University	B.Com Computers	65.80%
2007	Board of Intermediate,A.P	M.E.C	51.50%
2005	Board of Secondary Education	S.S.C	72%

Academic Project:

Project Title: Credit Financing with reference to 'Fortune Ford'

Project Description: The study deals with Credit financing/Hire purchase.

- ✓ To know the difference payment between hire-purchase and lump sum amount.
- ✓ To find out whether hire-purchasing method is satisfying customer or not.
- ✓ To know the problem faced by the third-party personnel in collecting payments by customers.
- ✓ To understand and to obtain the knowledge of the practical difficulties faced by the third party and automobiles management.
- ✓ Knowing the Contract of Guarantee / Sale of goods.
- ✓ To know the Rights and Obligations of Hirer/Owner.
- ✓ Calculating the Installments of a vehicle with interest.

Software skills:

MS-Excel, MS-Power Point, MS-Word,SQL, MS-Outlook, Share Point, SQL & Tableau (report pulling purpose)

Operating System: Windows Platform XP

Competencies:

- ❖ Positive Attitude
- ❖ Quick Learner
- ❖ Good Listener
- ❖ Good communication skills

Hobbies:

- ❖ Philately
- ❖ Watching technical programs relating to Gadgets and Automobiles.
- ❖ Travelling, adventure sports, bike/car rides.
- ❖ Volunteer for NGO's which provides basic needs to orphans, physically/mentally handicapped persons.

Personal Information:

Full name: Setamoni Suresh Kumar

Date of Birth: 07-01-1989

Marital Status: Married

Nationality: INDIAN

Fathers name: Setamoni Dasharatham

Address: BHEL, Ameenpur, Hyderabad.

Languages known English, Hindi, and Telugu

Mother Tongue: Telugu

Declaration: I hereby declare that all the information written in the resume is true as per my knowledge.

Place: HYDERABAD

Date: