



KETAN SARWADE

Securities Settlement Officer

PERSONAL INFORMATION

-  **Email**
ketan_sarwade@rediffmail.com
-  **Mobile**
(+91) 9822447394
-  **Total work experience**
13 Years 0 Month

KEY SKILLS

Financial Analyst

Capital Market

Stakeholder Management

Equity Derivatives

Trade Settlements

Cash Management

Trade Failure

Financial Statements

Trade Processing

Foreign Exchange

Reconciliation

Equity

Fixed Income Securities


OTHER PERSONAL DETAILS

City Pune



PROFILE SUMMARY

Versatile, high-energy professional, with 11 years of dynamic career in Investment Banking operations with expertise in Trade Settlement & Reconciliation. Result oriented with a proven track record of working collaboratively with team members to achieve goals. An effective communicator with excellent relationship building & interpersonal skills with a capability to lead a team and keep them motivated. Proficient in areas like Capital Market, Stakeholder Management, Cash & Stock Reconciliation, FX, Equity Derivatives, Fixed Income, Trade Settlements, Cash Management.

EDUCATION

- 2009  MBA/PGDM
Pune University
- 2006  B.Com
Babasaheb Ambedkar Marathwada University (BAMU), Aurangabad

WORK EXPERIENCE

- Jan 2021 - Present  **Securities Settlement Officer**
UBS Group
Mutual funds Settlement & Reconciliation
 - Working on unaffirm and affirm Trade report – Raising discrepancy if any occurs or sending email if the confirmation is missing. Static setup – like swift,email,fax setup. Raising for SSI setup if it is new fund.
 - Handling email query like if the client is missing our confirmation.
 - Working on Post trade & ensuring to get it resolve timely, so to avoid ageing breaks.
 - Liaising with FO & MO if there is any discrepancy & resolving queries on timely, so as to get the trade settled before the cutoff.
 - Checking cash & stock reconciliation & matching of the ledger breaks with the statement.
 - Have good knowledge in Swift (MT540, MT541, MT542 & MT543)
 - Preparing of EOD Report using Ms excel and sending to functional managers & internal teams.
 - Worked on applications : TLM, Abacus, SMP, Recon CH
- Nov 2018 - Oct 2020  **Senior Analyst - FX Settlement & Reconciliation**
Wipro Ltd

Country INDIA

LANGUAGES

- English
- Hindi
- Marathi

May 2014 - Oct 2018

Global FX Confirmation & Settlement & Post Settlement
Perform end to end activities related to FX trade from allocation of trades to trade settlements.
Checking with various financial applications to match all foreign exchange trades which are pending in unmatched, mismatch queue and raised those to MO if any pending for allocation or if it has any discrepancy. Interacting with clients, counterparties, traders, brokers and middle office on a regular basis for trade processing and trade confirmation related information.
Interacting with traders, middle office for there is any trade discrepancy. Raise CMA to cash management in case of trade failure.
Working on Open trade report - Raising discrepancy if any occurs or sending email if the confirmation is missing. Static setup like swift, email, fax setup. Raising for SSI setup if it is new fund.
Handling email query like if the client is missing our confirmation, SSI or there is confirmation setup if it is new fund. CLS setup request or new account on boarding request. Have good command on swift payments (MT103, MT202 cov, MT900, MT910).
Worked on applications : Genifax, AMH, TCM, CLS, Misys, FXALL, GTSS.

Senior Analyst - FX & Equity & Fixed income OTC derivatives
eClerx Services Limited

Equity Settlement

Working in pre settlement & ensuring trades are settled on time.
Working on Post trade & ensuring to get it resolve timely, so to avoid ageing breaks.
Liaising with MO if there is any discrepancy & resolving queries on timely, so as to avoid aged breaks.
Independently handling the process integrities and escalate challenges/ issues in a timely manner.
Checking reconciliation & matching of the breaks with the statement.
Preparing of S-1, S-2 & Weekly reports using MS Excel & sending it to stakeholders, functional managers & internal teams.
Exception handling on trade processing & Supporting team if they need any.
Applications Used – Oasys, PWMS, Backed dated Activity Management, SSI Workflow, Deal Manager, Recon post settlement.

Jan 2012 - Aug 2013

Sr. Dealer (Dealing in Equities & F&O with HNI Clients)
Aditya Birla Money Ltd.

Dealing in Equity and F&O with HNI clients. Generating brokerage revenue for company.

Jan 2010 - Dec 2011

Assistant Manager
Kotak Securities (KSL)

Dealing in Equity and F&O with HNI clients. Generating brokerage revenue for company.

Projects

1 Months

Worked on TLM 1MM Nostro Reconciliation breaks project (BOT).

- Providing required details to Robotics team which helps to enhance STP rate and eliminate manual intervention subsequently.
- Gathering business needs and requirements from stake holders.
- Conducting meetings with Robotics team to share ideas and findings
- Worked closely with Stakeholders, technical team, and managerial staff
- Assisting Robotics team in preparing documents like BRD, FRD, Test Plan
- Performing user acceptance testing
- Monitoring deliverables and ensuring timely completion of projects.

COURSES & CERTIFICATIONS

- P.G. Diploma in Business Management