**CHANDNI GUPTA**

**■ Mobile (+91) 9004404106 ■**  [**cgupta302@gmail.co**](mailto:cgupta302@gmail.com)**m**

Innovative, Versatile and Solution driven professional with expertise in Financial Services, Business Analysis and Agile IT Solutions. Having in-depth understanding of various Risk Management Tools and Techniques.

**PROFESSIONAL EXPERIENCE**

**NatWest Group (Formerly known as Royal Bank of Scotland) Oct 2018 – Till Present**

**Associate – Model Risk Officer**

Part of Model Risk Governance & Strategy (2nd Line of Defense) to provide the NatWest Board and the Chief Operating Officer with an independent oversight of the Risk & Conduct function.

**CORE DELIVERY**

* **Creation of the bank’s Group Model** Inventory as part of SR11-7 and SS 3/18 guidelines and help them act on risk and governance issues to build a robust risk culture.
* Establishing mandatory procedures and implementation standards for business users in co-ordination with the Governance and Strategy teams.
* **Execution of quarterly MRA refresh cycle** to generate the risk appetite statements and highlight the breaches to Risk Executive Committee and Board Risk Committee for various NatWest franchises, functions and LEs.

**SAS MODEL RISK MANAGEMENT IMPLEMENTATION AND DELIVERY**

NatWest group retired legacy applications and implemented SAS MRM to effectively control and manage Model Risk

* **Effective management and migration of legacy data** from various systems across the org. into SAS MRMS, enabling regulatory compliance and reporting.
* **Managed Project scope and Timeline using Agile methodology and Scrum framework** (Sprint Planning, Backlog, Review, Iterate) and support external auditors with Governance (communication, change control, escalation). **Tools: SaaS (Workflow Studio, Reporting, Access Mgt.), Jira, Confluence, XML**, **LeanKit**
* **Business Requirement Gathering** from model validators, model owners, developers and external/internal auditors for analysis, process design, reporting, documentation and implementation of SAS MRMS
* **Responsible for Quarterly Release Management** for new versions of the SAS MRM tool. Helping to ease the transition to continuous delivery and work through the Digital Transformation one release at a time.
* **Acted as a frontline for Business users** (communicating with SAS for additional business requirements and customization) and maintain relationships with senior management in Business, Risk and Technology
* **On-boarded ~2k users** on the platform and handled User Access Management, created detailed documentation such as administration and user guides
* **Delivered multiple workshops and user trainings** covering Model Lifecycle enabling users to easily add models in the system, perform actions such as Model Validation, Risk rating, Model Reviews, Documentation

**JP Morgan Chase & Co. June 2017 – Oct 2018**

**Project Manager - Fund Manager On-boarding**

* Project management and on-boarding of new/incremental clients, launching funds for existing clients, delivery of new/incremental business into J.P. Morgan. Ensuring that deals are executed efficiently
* Liaising with Fund Managers, Investment advisors and JPMC internal global On-boarding teams (e.g. Middle office, Relationship Management/Sales, Account Opening, Product, Platform, Operations, Technology and Client Services)
* Deal reporting (New Funds & restructuring, re-pricing, RFPs) using MS excel, JPMC in-house reporting tool and COLT platform. Report types include - Deal status, Lead time, RAG status, Resource planning and allocation, Operations metric reporting etc.
* Transitioning existing Custody Fund Manager on-boarding operations from London to Mumbai; actively managing each projects progress by use of project plans, issues logs, knowledge transfer and status reports; ensuring that business transitions seamlessly into BAU with zero issues
* Successful on-boarding of Fund Manager and setting up of Global Trade Account (GTI), SWIFT (Corporate Action reporting & notifications), Currency, Markets, Product, Instruments, JP Morgan Trading platforms and other trading requirements

**eClerx Services Limited, Mumbai January 2015 – June 2017**

**Associate Process Manager, KYC – Financial Services**

**Subject Matter Expert (SME): Know your customers (KYC), Regulatory reporting, Reference Data**

* Performed periodic reviews of client KYC information by coordinating with areas such as COB, Compliance, Sales, and Client Service ensuring Service Level Agreements (SLAs) are met in a timely manner
* Managed a team of 10 KYC Operations Analysts and conducted MI reporting for senior management to track productivity. Facilitate the client to perform Regulatory Reporting in an effective manner
* Identified, research, validated & maintained legal entity reference data leveraging internal/external stakeholders and data sources on client central repositories/applications. Verification of client address, owners, Stakeholders, re-booking products, AML checks
* Ensure process is compliant to KYC procedures and guidelines laid down by the clients and regulatory authorities such as FINTRAC. Helping the client to efficiently on-board accounts, minimize suspended accounts due to lack of compliance and decrease the probability of money laundering
* Platforms: Capital IQ, Secretary of State (SoS), Golden Source, Lexis Nexis, Client KYC Internal Platforms

**EDUCATION**

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| DEGREE | INSTITUTION / UNIVERSITY | YEAR | % |
| PGDM | Institute of Management Technology, Nagpur | 2015 | 80.96% |
| B.A Economics Honors | Indraprastha College for Women, University of Delhi | 2013 | 64.5% |
| Class 12th | St. Mary’s Convent High School (ISC) | 2010 | 92.16% |
| Class 10th | St. Mary’s Convent High School (ICSE) | 2008 | 85.14% |

**CERTIFICATIONS & SKILLS**

* Received the ‘Living Our Values (LOV) award twice for ‘Exceptional Customer Service’ & ‘Working Together’ in the year 2020 and 2021 at NatWest Group
* Awarded Associate Process Manager ‘APM of the Quarter Award’ in the year 2017 at eClerx for showing excellence in leadership and handling the process

**PERSONAL DETAILS**

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| Date of birth | :14th June, 1992 |
| Languages known | :English, Hindi |