

Amit Mishra

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SUMMARY

- More than 5.5 years of experience in middle office operations with sound knowledge of OTC Derivatives, Structured rates products, structured deal review, coupon settlement, reset application, Trade recap and also about the trade life cycle of OTC products.

EDUCATION

2014	<u>Imarticus Learning</u> <ul style="list-style-type: none">• Certified Investment Banking Operations Professional.<ul style="list-style-type: none">» Investment Bank Roles & Functions.» Functions Of Financial Markets.» Securities & Derivatives.» Risk Management & Control. <u>Specialized Product Knowledge</u> <ul style="list-style-type: none">» OTC Product such as Structured rates, Structured derives, Fixed income products, Credit Default Swap, Interest Rate Swap. <u>Key Skills</u> <ul style="list-style-type: none">» Credit Default Swaps» OTC» DTCC» Time Management» Team Management	Mumbai, India
2016-2018	NMIMS College. PGDM in Finance (Part Time)	Mumbai, India
2009-2012	B.N.N. College Arts, Commerce & Science B.Com (77%)	Mumbai, India
2007-2009	B.N.N. College Arts, Commerce & Science H.S.C (66%)	Mumbai, India
March 2007	Cooch Behar Vidhayalaya S.S.C (60%)	West Bengal, India

TOTAL WORK EXPERIENCE: Around 5.5 Years.

2014 - June, 2015.

BNP Paribas India Solutions Pvt. Ltd.

Role: Client Due Diligence Officer (On Payroll of Avvas Infotech Pvt. Ltd.)

Process: KYC Due Diligence APAC

Responsibilities:

- Performing complete due diligence on client as per the rules & regulation set up by the regulatory authority of country.
- Responsible to chase onshore team if we are unable to meet all the requirements to perform KYC.
- Monitor the risk arising due to regulatory issues & report them with proper conclusions.
- Co-ordinate onshore team and managers to generate more accurate details whenever required.
- Keep updated with change in policies & regulation by the regulatory authority of concerned country.
- Perform additional due diligence & follow procedures in respect of Politically Exposed Person (PEP)
- Maintaining all the files of client for next review if required.

- Any negative findings must be informed to compliance accordingly.
- Responsible to attain training & development programs on regular intervals.

July, 2015 – Aug, 2018

SS&C Globeop Financial Services Pvt. Ltd.

Role: Senior Associate (Derivative Analyst)

Process: OTC Derivative & Operations

Responsibilities:

- Responsible to perform daily and Monthly Position Reconciliation on OTC products such as **Interest Rate Swaps**, **Credit Default Swaps** and **Equity Swaps**.
- Responsible for conduction **Middle Office operation** with counterpart, Client & **Front Office** sales desk to retrieve the accurate information to resolve issues related to trade details or breaks.
- Generate daily and monthly MIS for client and responsible to meet their expected timelines.
- Responsible to resolve breaks or chase counterparty or client to get break resolution before breaks are getting aged.
- Need to go through investigation of the breaks and work on resolution on repetitive nature of breaks.
- Need to use different clearing sites to check the confirmation of trades which includes **DTCC & Markit** clearing websites.
- Maintain regular and healthy communication with client and counterparty through Email, Conferences or Phone call conversation.
- Also have knowledge of wire payments & SSI instructions received for payments.
- Generate Month End MIS and responsible to meet specified **SLA** provided by client and signoff all the funds on which clients has their positions.
- Chase counterparty for their daily valuation statement and upload in system to perform Position Reconciliation.
- Perform **UAT** testing with coordination of Local IT team to ensure about the accurate developments are made to improve quality of daily work.
- The role involves building and maintaining relationships with the regional & Onshore Teams, the Business Unit, IT and other operational support areas to maintain expected quality & productivity control.
- Effective Process migration done without effective daily BAU & participated **scenario creating & testing on UAT** For improvement in daily work efficiency of BAU performed.

Sep, 2018 – Till Now

Barclays Investment Bank Pvt. Ltd.

Role: Senior Analyst (Structured & OTC Derivative Middle Office Operations)

Process: Structured Rates & OTC Middle Office Operations.

Responsibilities:

- Supporting middle office operations which are responsible for the front to back processing of asset classes **i.e Rates, Structured OTC trades** etc. The process includes reconciliations, Deal Review, Portfolio reconciliation, Liaising with the FO desks for trade related issues.
- Perform **trade review** with **term sheet** & raise the required amendments as per the term sheet to **front office trading desk**.
- Perform **manual reset & calculate pay off (Coupon payments)** which need to be paid on structured notes issued to the investors & make entries into system for coupon payments or final payouts.
- Review and perform the system reconciliation function, ensuring that the back-office system contains all the trades that are in the front office systems (FO-BO). All differences must be investigated, escalated and cleared within agreed timescales.
- Close liaison with **TCU, Settlements, Product control & Support teams** in order to minimize the number of open breaks and timely escalations.
- All the other adhoc activities which might be required to increase the process efficiency & risk control.
- Reporting regular upcoming **options expiry** to the front office trading desk within specified time line.
- Responsible to excellent working relationship with internal counterparts (i.e. Senior Management, IT, Desk, Sales team, Trade Support, Confirmations, Legal, Finance).
- Performed **UAT testing** coordinated with IT & different functional groups within organization which helped us to avoid unwanted increase in trade volumes by automating simpler products.

ADDITIONAL PERSONAL DETAILS.

- Date Of Birth 16th Dec, 1991.
- Good to relocate.