



Nilesh M Shah

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- To ensure timely execution of process with controls in place and update the team.
- Ability to handle multiple tasks and meet tight deadlines.
- Very Good understanding of Capital markets products and process.

Profile Summary

- A competent professional with overall experience in Mid office & profit center Business support, Control checks and timely execution.
- Impeccable success in managing operations involving resource planning, in-process inspection and coordination with inter department & business.
- Specialties: Capital Market Operations, Mutual Fund, Depository Operations, CP Issuance, Trade Reconciliation, Internal Audits, Process Automation, Standardize Operating Procedure (SOP).

Education

2013, Correspondence/Distance learning

- **MBA in Finance from - Sikkim Manipal University (SMU), 62%**

1994, Full Time

- **Bachelor of Commerce, Mumbai University, 58%**

Work Experience

Apr 2014 – May 2023

Vice President: Edelweiss Financial Services Limited

- Independent process handled: IPO Applications, Mutual fund Process thru BSE Star, ETF trade support. Documents repository for counterparties.
- Supervised team of 3 Persons for Trade support to business.

Significant Achievements:

- Was rated 5 Out of 6 - FY 2020-x21-22, Towards goal achievement and New activities handling.
- Have received Productively Paranoid award under PROPAT. (These is internal guiding principles award in shaping process) for Implementing to optimize process risk of investments by company.

Managing profit center Operations with key focus on Quick and Accurate Process and documentations.

- Managed IPO Application process with Zero Error worth Rs 1,70,884 Crores. A super revenue generation to organization.
- Managed ETF (Exchange Traded Fund) : Empanelment with AMC, Trade support to business for Market making with various AMC's. Transactions Processed worth Rs 13,610 Cr.
- Complete Setup of Mutual Fund process thru BSE STAR MF platform. Have Activated this system for timely credit of MF units and Margin benefits, Online txn processed worth Rs 5000 Crore. Total MF processed worth Rs 31,728 Cr
- Hands on process for Commercial Paper Issuance, Documentations and Automation inputs in internal System (FM). Processed Appx 5000 Cr txn. Providing System Development inputs to TECH Team towards Automation.
- Maintaining database for various Special Situation Products like IPO, FPO, Rights, Open Offer. OFS, QIP.
- Handled Trade reconciliation, Demat Recon, AIF Documentations, Payment Process for Bond trades.
- Working with Business, custody teams, Counterparties, domestic Risk compliance teams for operational matters. Quick funding information flow to Cashflow team, Resource operations
- Trained staff for existing Process backup and guidance on upcoming Process/ Projects.

2008 - 2013

Manager Operations: Fullerton Securities and Wealth Advisors Limited

Head Depository Operations

- Managed complete depository process with daily reconciliation of stocks with strict regulatory and compliance guidance.
- Successfully implemented procedures & document management system to efficiently retrieve/maintain records.
- Played a key role in reducing complaints for stocks movement timeline and corporate action queries.
- Process draft with detailed SOP, Define user Role Matrix, documentation controls.
- Support to Compliance unit for Anti money laundering, Off Market stocks Inward and outward and KYC details updation as per guidance by regulator. Developed formal plans for continuous improvement and measurement in terms of management goals and objectives, customer service delivery, and customer relationships
- Implemented continuous improvement methodologies, through Process Reengineering

2006 - 2008

Manager – Operations: Destimoney Securities Ltd (Formerly Dawnay Day AV Securities UK)

- Setup of Depository Operations, Testing of software, interaction with exchange, CDSL and NSDL. Managed team size of 8 and spearhead branches and 100 crores of AUM.
- Successfully conducted regular training programs on process documentation and guidance to RM. Clear coordination with Exchange, Depositories, Vendors.
- Continuously streamlining of system, procedures and reducing the Response time in operations with regular monitoring of Outstanding Bills recovery. Reduced errors to risk free levels by modifying operational process.

1994 - 2006

Executive – Operations Standard Chartered Securities Limited

- Set up and Managed NSDL Depository for the organization. (Amongst first 10 approved members of NSDL) To maintain Account Opening KYC norms and solving compliance issues related to the Exchange
- Attending NSDL Inspections, Prepared I G Repots for NSDL, Client-NSDL Queries reply, Timely Audit reply reports to NSDL, SEBI & Various MIS Reports for the management.
- Controlling the Franchisees exposures and follow up for funds and co-ordination with them on day-to-day basis
- Coordinated with all Branches Nationwide accumulating 35000 clients in respect of Depository Operations for ensuring high quality, smooth and zero error operations

1994 - 1995

Executive: Motilal Oswal Securities Limited

- Have handled completed NSE and BSE physical shares Pay in & Pay out of Securities with clearing house with obligation tally for each settlement. Handled queries of Sub broker & high net worth trading clients.
- Instant response to Sub brokers queries. Handled personal portfolio of selected owners.

Courses & Certifications

- **NISM Series VIII Equity Derivatives Certification Exam (Valid upto July 2024)**
- **NISM-Series-V-A: Mutual Fund Distributors Certification Exam (Valid upto August 2024)**
- **NISM Series VII Securities Operations and Risk Management Certification Exam (Valid upto August 2025)**

Key Skills

- Profit Center Operations
- Control checks and Execution
- Team Management Skills

Languages Known

- Gujarati: Expert | Hindi: Expert | English: Proficient

Personal Details

- **Date of Birth: 21st April 1973**
- Gender: Male
- Marital Status: Married.
- **Address: C-601, BHARAT APARTMENT, MARVE ROAD, NEAR MALAD GYMKHANA, MALAD WEST, MUMBAI 400064.**

Extra-curricular Activity

- Played District and State level Carrom championships - Mumbai
- Participated in Trekking at Prabalmachi Trek – Panvel
- Gym for Fitness , Reading Daily Newspapers, Long Travelling, Mountain Trekking