

Dipanshu Malhotra

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An enthusiastic & high energy-driven professional pursuing senior level assignments in **SOx Compliance, Internal Audit, Internal Controls and Financial Operations & Reporting** with an organization of high repute, in **Delhi NCR**

CORE COMPETENCIES

SOX Compliance

Financial & Operational Audit

Internal Audit

Audit Reports & Documentation

Financial Analysis and Reporting

Risk Management

Internal Controls

Client Management

PROFILE SUMMARY

- A **Chartered Accountant** with more than **6.5 years** of rich, qualitative & versatile experience in **SOX Compliance, Internal Audit, Statutory Financial & Operational Audits and Internal Controls**
- Experience in working with renowned organisations like **Deloitte Haskins & Sells, American Express India Private Ltd, Panasonic India Private Ltd and EXL Service India Pvt Ltd**
- Experience in leading assignments and delivering high quality output to stakeholder with in prescribed timelines.
- Experience in planning and executing audit assignments in accordance with testing plans and aligned to relevant policies, procedures and quality standards
- Proficient in conducting financial analysis, preparing key reports, implementing systems & procedures and exercising internal controls
- Proven experience in Maintaining the overall risk and control framework. Ensuring compliance with SOX and Operations controls.
- Competent in liaising with Internal Teams to ascertain financial specifications with adherence to compliances
- An innovative and result-oriented professional with strong planning, communication, interpersonal, presentation, team management and negotiation skills

ORGANISATIONAL EXPERIENCE

EXL Services India Private Ltd.

Designation: Lead Assistant Manager, SOX Compliance and IA

Period: 25-01-2021 till date

- Leading team of experienced individuals for getting the project delivered within given frame of time.
- Leading the projects across various clients for performing independent process assessment and testing of SOX Controls across various process areas including P2P, O2C, R2R etc.
- Performing review as well as working on design assessment and walkthrough of various process to understand process design and identifying improvement area.
- Leading discussion with clients Influencing / convincing the Senior Management / stakeholders for getting an agreement on to the issues (operational risk events) raised as part of any deficiency reported in SOX controls and further performing review as well as working on and getting action plans in place for resolutions.
- Providing SOX training to wider team globally to enable them to understand importance of SOX.
- Identify and implement opportunities to rationalise the Risks and Controls without compromising on the Control Environment and risk Appetite.
- Assisting in some additional projects like finalisation of Risk Ranking criteria for EXL's Fraud risk assessments, assisting MNP in closure of Statutory audits requirements etc.

Panasonic India Private Ltd.

Designation: Deputy Manager, SOX Compliance and IA

Period: 20-09-2019 till 22-01-2021

- Performed independent testing of SOX Controls across various Process areas as part of testing cycles.
- Performed Self-Assessment and walkthrough of various process to understand process design and identifying improvement area.
- Prepared Process flow charts for key areas like R2R, P2P, RMA, Export sales etc to enhance overall process understanding
- Worked closely with various process area in closing operational risk events raised as part of any deficiency reported in control.
- Independent management of reporting and tracking tools for overall work record.
- Providing SOX training to finance team globally to enable them to understand importance of SOX.

American Express India Private Ltd.

Designation: Financial Analysis Manager, SOX Compliances**Period: 01-12-2017 till 13-09-2019**

- Performed independent testing of SOX Controls across various Process areas as part of regular and year end testing cycle.
- Worked closely with PWC in performing the independent testing of certain controls on their behalf.
- Worked closely with various process area in closing operational risk events raised as part of any deficiency reported in control.
- Independent management of critical tools for maintaining the track record of overall work done.
- Worked closely and exhaustively with various teams in getting the significant deficiency resolved.
- Key accomplishments included closing of testing cycles from start to finish including planning, performing, leading and completing the testing in the given deadlines.

Deloitte Haskins & Sells.**Designation: Assistant Manager****Period: 24-03-2015 to 30-11-2017**

Exposure:

- Managed financial audits, financial planning and analysis of some largest clients and identifying business, control and audit risks and evaluating, and documenting procedures and controls.
- Key accomplishments included running client engagement from start to finish including planning, performing, leading and completing engagement in the given deadlines
- Statutory Audits (including Group Reporting, Limited Reviews and annual statutory audits) of:

Cairn India Limited (A Vedanta Company) (Extraction and development of Crude oil):

- Performed SOX testing for JV book close and Inventory cycle, wherein we performed detailed walkthrough, scoping of controls, identifying RAWC, and performing test of controls.
- IFRS Reporting: Testing for entire Rajasthan block, Ravva & CBOS block which comprises of 95% of Cairn revenue including all the assets, expenses and other balance sheet related heads testing.
- Detail testing of various Explorations blocks of Cairn India LTD across the globe.
- Detail testing of various areas and account balances of Currents assets and Liabilities at corporate reporting level in relation to 20F filling of Vedanta group as whole.
- Detailed Journal entry testing to assess management override of control

Itron India Private Limited and Itron Metering Solutions India Private Limited (Manufacturing):

- Lead the engagement for Statutory audit for the period ending March 2017 with Greater Than Normal (GTN) classification of risk involving extensive testing of balance sheet and P&L items and Operating expenses including detailed study on FEMA non compliances
- Performed Internal financial control Reporting (IFCR) for the client as per requirement of companies' act, 2013, including designing SOP's (standard operating process), identifying Risks involved in each flow and designing appropriate Controls to mitigate the risk (RCM's) and performing test of each control as per Guidance note by ICAI on ICFR.
- Detailed Journal entry testing to assess management override of control

Other Clients like: Payfront technologies India Pvt Ltd/ Avantor Performance Material India Ltd (Pharmaceutical)

- Performed Internal financial control Reporting (IFCR) for the client as per requirement of companies act, 2013, including designing SOP's (standard operating process), identifying Risks involved in each flow and designing appropriate Controls to mitigate the risk (RCM's) and performing test of each control as per Guidance note by ICAI on ICFR.
- Testing of Various Balance Sheet Head and P&L items

ACADEMIC DETAILS**2014 Chartered Accountant** from Institute of Chartered Accountants of India**2011 B.Com. (Hons.)****IT SKILLS****MS Office Suite** - Word, Excel and PowerPoint, MS Visio**PERSONAL DETAILS****Date of Birth:** 20th May 1990**Languages Known:** English, Hindi and Punjabi**Father's Name:** Mr. Darshan Kumar Malhotra