

# NAYAN SAWANT

## TRANSFER AGENCY OPERATIONS

International & Domestic Payments ■ Foreign Currency Exchange ■  
Treasury Operations ■ Reconciliations & Regulations ■ Quality Checking

## PROFILE SUMMARY

*Pragmatic leader with 8+ years of experience in Trade/Payment Settlement, Forex Transactions, and Treasury Operations, with ability to contribute in transition and capacity building; seeking a suitable leadership opportunity*

## KEY DELIVERABLES

- Accomplished professional with knowledge in international and domestic payments and foreign exchange (forex) clearance for digital payments, managing payment gateway merchant settlement process, compliance reporting, reconciliation and settlement, treasury operations, process improvement, and process automation
- Skilled in the hedge fund and equity sector with operational exposure to real-time trade capture, cash and collateral management, valuations, corporate action, reconciliation, payment confirmation, profit and loss, and settlements
- Adept in liaising with local and international remittance/settlement bodies, transfer agencies, and other stakeholder organizations, including exchange houses to develop and deliver strategies, methods, and tools in support of successful implementation and adoption of swift operations at treasury
- Proven success in examining trade documents and KYCs, ensuring that documents are accurate and adhere to internal policies/external regulatory guidelines, assessing process flows, and establishing corrective measures
- Proven record of contributing at strategic level to initiate process transition project ranging from coordinating with third party developers to managers and users to successfully integrate new application with a global application
- Proactive in initiating accurate operational decisions by implementing strategy and innovative compliance initiatives to streamline processes, while tracking, documentation, and reporting requirements

## WORK EXPERIENCE

**Apex Fund Services LLP • Senior Associate Level 1 • Feb 2023 – Present**  
**Key Result Areas:**

- Reviewing payments for Hedge Funds and Private Equity products in TA under multiple jurisdictions across Ireland (UK), USA, Singapore, Australia, Hong Kong, Guernsey, UAE, and Mauritius
- Managing payment process migration from above jurisdictions and training process associates to work daily as part of BAU
- Overseeing availability of appropriate and necessary funding before making out any payments
- Providing authorization of payments in the banking system of NT, SVB, K2, RBSi, Barclays Bank, and other offline payments through spreadsheet and checklists
- Tracking client's accounts as per client money rules (CASS model) so as to protect the client and thereby avoid 100% financial breaches
- Supervising treasury operations on behalf of management company with sustained control
- Maintaining 100% record of all daily refunds and taking necessary action to re-pay to clients
- Reviewing cheque refund routes and getting approvals before their re-issue
- Forecasting cash flow financial trends and cash requirements
- Monitoring/processing incoming wire payments using accounting software

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## EDUCATION

- B.Com.** from D.B.J. College, Chiplun, Mumbai University | 2015
- Certifications:**
- CISI – IOC Introduction to Securities and Investment – Module 1
  - Tally ERP 9 – National Certification in Modular Employable Skills
  - MS Excel – Basic and Advance Certification

## KEY SKILLS

- Strategic Planning & Execution
- Clearance & Settlement Operations
- Trade Operations & Reconciliations
- Treasury & Forex Operations
- Statutory Compliance
- Digital Payment System
- Stakeholder Engagement
- Transfer Agency Operations
- Training & Development
- Cross-Functional Collaboration
- MIS Reporting & Documentation
- Project Conceptualization to Execution

## TECHNICAL SKILLS

- MS Office (Word, Excel, and PowerPoint)
- Capital Tracker
- Frontier
- Bluedoor (Platform)

## SOFT SKILLS

- Thinker
- Planner
- Collaborator
- Superior Organizer
- Excellent Communicator

## PERSONAL SNIPPET

- Date of Birth: 19<sup>th</sup> Aug 1994
- Nationality: Indian
- Linguistic Skills: English, Hindi, and Marathi

**Morgan Stanley • Senior Associate • Oct 2021 – Jan 2023****Key Result Areas:**

- Managed wire payments setup for hedge funds in centralized team under jurisdictions across UK, USA, China, Australia, and Hong Kong
- Performed domestic and foreign exchange (FX) wire payments setup for vendor/investor with back up provided by client, i.e., SWIFT, BIC, ABA, IBAN, account number, etc.
- Approved wires on subscription and redemption level input by investor services team and offered them necessary updates
- Ensured 100% availability of appropriate and required back-up prior to approval of wire payments
- Imparted authorization of wire payments within the payment system of the organization
- Ran weekly, monthly and quarterly report of bulk wires input by investor services team and approved them as per deadline
- Supported the reconciliation team to present daily reconciliation files through custody
- Reached out to custody in case of issues occurring on files receiving/automation in MSGR system

**Apex Fund Services LLP • Senior Associate • Mar 2020 – Sept 2021****Key Result Areas:**

- Issued payments for hedge funds and private equity products in TA under jurisdictions in Ireland (UK), USA, Singapore, Australia, Hong Kong, and Guernsey
- Made domestic and foreign exchange (FX) payments using SWIFT, BIC, and IBAN
- Supervised treasury operations on behalf of the management company with sustained control
- Monitored availability of appropriate and requisite funding prior to issue of payments
- Rendered authorization of payments in banking system of NT, SVB, RBSi Bank, and Barclays
- Tracked client accounts as per client money rules (CASS model) to protect the client and avoid financial breaches
- Managed records of all refunds each day and undertook necessary action to re-pay the client

**Atos Syntel Pvt. Ltd. • Senior Associate (Quality Checker) • Oct 2015 – Feb 2020****Key Result Areas:**

- Executed corporate dealing account reconciliation, client money reconciliation, and distribution reconciliation as per FCA rules and regulations
- Performed reconciliation under CASS guidelines and rules under CASS 6, CASS 7, and CASS 8
- Managed operations in Finance, Investment Banking, Mutual Funds, and Capital Market
- Generated reconciliations for MIS reports on weekly/monthly/quarterly basis
- Spotted unallocated funds and protected them through client money, while scrutinizing with required arrangements to allocate the same
- Prepared daily reconciliation of MIS and focused on major breaks with escalation to onshore team
- Developed reports on aged items with timely updates to senior management and escalations to UK counterparty
- Collaborated settlements team performing transfer of funds to fulfil client money requirement
- Served as a Quality Checker and investigated team members' tasks and helped them resolve their critical queries

**ACHIEVEMENTS**

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- Elected as a representative to visit London (UK) to migrate new processes to India during Jan 2019
- Honoured as Titan of the Month (Apr 2018) for diligently managing tax year-end with zero quality compromise
- Bagged the Best Team Award for 3<sup>rd</sup> Quarter of year 2016 for off-shoring new multi-processes, with zero compromise on productivity and quality, highly appreciated by UK counterparty and Pan India senior managers