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Objective : To work in a challenging environment and to capitalize my skills to the best extent possible, with a view to seek a long-term career through creative contribution in all areas of work, providing flexibility for growth and opportunities.

Experience : **CLSA Technology & Services Pvt. Ltd.**
Designation : Officer - Senior Staff - Corporate Actions / Trade Settlements.
Since : 15th July 2015 till date.
Job Profile : Asset Services (Corporate Action) / Trade Life Cycle Settlements.

- Processing overall Mandatory and Voluntary CA Events for internal and external custody clients for Asia (JPY / INR / THB / SGD / PHP / HKD / CNY / IDR) / Europe (EUR / GBP) / US Markets. Processing CA events like Cash Dividend, Stock Dividend, Bonus Issue, Merger, Forward/Reverse Stock Split, Optional Dividend, Rights Offer, Tender Offer, Conversions, Spin-Off, Meetings, etc.
- Responsible for settlement of CA claims by pro-actively communicating with the counterparties & remitting proceeds on an agreement to their SSI by instructing cash payment/stock transfer.
- Worked on India Market CA events where CLSA is Issuer of Promissory Notes (P-NOTE).
- FX Treasury Transfer, Internal Entity Bookings & timely Reconciliation for Stock & Cash breaks.
- Stock borrowing and lending process performed with borrowers and lenders to fulfill the needs of counterparts and clients within the stipulated timeframe.
- Worked on vendor platforms & applications like Bloomberg, Swift (MT564/MT566/etc), Omgeo Alert, CitiVelocity, HSBCNet, CS PLUS, SCB, SmartStream TLM, Calypso, Sophis, BAML, SYN, etc.
- Sending Pre-matching emails to clients and confirming on all the unmatched trades.
- Ensure adherence to market matching with-in settlement cut-off time, offering Pair-Offs / Net-Offs, follow Buy-In regulation & quality of settlement processing (Asia / Europe / US Markets).
- Training the new joining employees (in India / Singapore / China) on corporate actions & trade settlements processing, so that they all meet the Company SLA at the earliest, with accuracy.
- Team Management & allocating tasks to 8 to 10 team members during high volumes & monitoring workload.
- Preparing the daily MIS/Report Generation & Regulatory Reporting as per the requirement of the Compliance Team / Front Office Desk / Higher Management / Clients.
- Conducting training sessions on various exceptional corporate actions requirements by clients to cover the knowledge gap within the team.
- Screening and short-listing candidates recommended through Employee Referrals for the Final Operation round by the Senior Managers.
- Worked with IT Team / Business Analysts on various Projects for process enhancement & improve efficiency.

Experience : **Morgan Stanley Advantage Services Private Limited.**
Designation : Sales Support – Senior Associate.
Since : 24th July, 2012 to 10th July 2015.
Job Profile : Fixed Income and Commodities Management Operations.

- Handling requests for entitlements of clients on electronic trading platforms like Bloomberg, Tradeweb & MarketAxess. This includes configuration and linkages to downstream systems to ensure straight-through processing of trades, maintaining existing user records, and managing queries related to them.
- Handling requests for entitlements of clients on third-party vendor applications like Thompson Reuters, Bond Hub / Market Hub, Capital IQ, etc. This includes providing Company Research and other services, maintaining KYC for existing user records, and managing queries related to them.
- Following specified procedures for different platforms, applications & products, managing multiple queues throughout the day & ensuring delivery within the expected SLA.
- Liaising with Front Office & with vendors to remediate any issues related to client/product setup.
- Taking corrective measures for any trade flow issues resulting from incorrect setup and following up with the relevant IT groups to resolve any technical issues.
- Maintaining KYC documentation related to client a/c setup on trading & research platform.
- Preparing critical data analysis reports in response to Business/Front Office/Sales Desk requests.
- Preparing reports of work done by the team on weekly/monthly basis and presenting them to the higher management. Maintaining database for future reference.
- Monitoring and tracking leaves, attendance tracker, overtime, attrition, etc.

Experience : **Deutsche Bank Operations International (DBOI).**
Designation : Trader and Sales Support – Process Supervisor.
Since : 23rd Nov, 2009 to 20th July, 2012.
Job Profile : Transaction Management Group (TMG) – Middle Office.

- Handling Fixed Income Securities – Corporate Bonds, US Treasury Bonds, Mortgage Bonds, Convertible and Non-convertible Bonds.
- Liaising with Front Office, External Clients, Custodians, Trader and Sales Support through Bloomberg to resolve pre-settlements, settlements, post settlements & failing trades.
- Amending and rebooking trades at Front End for smooth and straight through settlement at the Back End, prior to cut off time of different currencies and market deadlines.
- Handling trade support / trade settlements between Deutsche Bank and the Corporate Clients.
- Investigating on reason for the trade failing & resolving the issue, until trade settles in market.
- Working on Reconciliation Nostro (Cash) & Depot (Stock) breaks, investigating & resolving them.
- Working on Mandatory Recall report i.e. to settle a trade, DB borrows bonds from Euroclear Bank for a particular time-period, & then DB needs to give those bonds back to Euroclear Bank. In the meanwhile, Euroclear Bank sends Recall report to DB, hence work on that Borrowings & Recall.
- Resolving Inter Company trades between DB NY, DB LDN and DB FFT.
- Interacting and confirming with counterparties, custodians or the end clients for the trade short positions, partial pair offs, full pair offs, free of payments (FOP), etc.
- Received Spot of the Month Award for August 2010 and June 2011 and also Star of the Month Award for February 2011 and September 2011.

Experience : **Tata Consultancy Services e-Serve Limited.**
Designation : Officer - Senior Quality Analyst.
Since : 11th April, 2005 to 20th Nov, 2009.
Job Profile : US-Consumer Asset Operations and Accounts Review Collections.

- Reviewing documents pertaining to Citibank Mortgage Loans & Citibank CAO Applications send by Customers, Insurance & Title Companies, Credit Bureaus, Appraisals, AML Processing, etc.
- Preparing & reviewing Mortgage Documents & Calculating Lien which client wants to write-off.
- Interim Credit Analysis for accounts done by analyst to prevent organization from financial loss.

- Performing Quality checks of Mortgage Loans Documents prepared by junior analyst & checking if, Relaxation provisions made available to borrowers by the Auto Collection Team in US.
- Conducting and overseeing Quality and Work Audits and ensure that the team is compliant with internal and external regulations and procedures.

Experience : **United Parcel Services (UPS).**
Since : 21st June, 2002 to 08th April, 2005.
Job Profile : Data Management Operations.

- Ensuring accurate and timely upload of Shipment Entry details and ensuring proper forecasting of Data to Worldwide UPS Sites.
- Checking and updating plan flow for all the Shipments and Packages, thus ensuring enhancement of service and cost.
- Solving Inbound and Outbound Discrepancies of Packages for all sites on a daily basis to maintain our Service Quality Report Level.
- Interacting with other UPS Branches in India and across the Globe and solving the discrepancies.
- Solving the Queries and Problems of both, Local and International Clients and Customers.
- Training the new employees to meet Company Standards and Work Methods.
- Was sent to Bangalore Branch to train & assist the Operations and Data Management Staff.

Education:

<u>Qualification</u>	<u>Year</u>	<u>Percentage</u>	<u>University</u>
MBA	2006-2009	63%	Mumbai
T.Y.B. Com	2001-2002	56%	Mumbai
H.S.C.	1998-1999	56%	Mumbai
S.S.C.	1996-1997	57%	Mumbai

Additional Qualifications:

- Diploma in International Airline and Tourism from Trade Wings Institute of Management.
- eDAST Course at CMC Computer Education.

Personal Strengths:

- Thorough professional, of the highest caliber, and capable of handling numerous tasks and activities in a high-pressure environment.
- Attention to detail & ability to understand business complexities & proactively act on them.
- A cooperative team player who enjoys working with diverse groups of people; is available to work any shift; and is prepared to put in more time when needed.
- Self-Motivated, humble & down to earth with strong morals, integrity & ethics.