

Shamlee Bhoi

Senior Process Executive

✉ shamli1193@gmail.com

☎ 8007468345

Professional Summary

Accomplished Professional with Expertise in Financial Compliance and Process Improvement with a track record of delivering excellence in the field of financial compliance and process improvement. Successfully managed responsibilities in various roles, ensuring data integrity and compliance with established frameworks. Highly skilled and proficient professional with a strong background in KYC (Know Your Customer) and AML (Anti-Money Laundering) practices, specializing in the identification and assessment of customer account activities to proactively detect and mitigate instances of money laundering, terrorist financing, fraud, and suspicious transactions. Possesses in-depth expertise in Regulatory Compliance, Client Due Diligence, Sanctions Screening, adverse media analysis, and transaction monitoring.

I am now seeking a career transition to the realm of financial data analysis and management, aiming to leverage my extensive experience in data management and reporting to contribute to the growth and success of financial organizations.

Skills

Problem-solving mindset and impact-driven approach:

- Demonstrated robust problem-solving mindset and impact-driven approach.
- Proactively identified and addressed challenges in data analysis and reporting processes.
- Maintained a high standard of work quality under pressure.
- Strong organizational skills with keen attention to detail.
- Exceptional focus on detail, with strong follow-up skills and sound judgment.

Technical proficiency in Data Wrangling:

- Knowledgeable in SQL and Python for data querying, analysis, and modeling.
- Experience in Data ETL process via Alteryx and Python (pandas).
- Proficient in Microsoft Office applications, particularly Excel with macros.

Business understanding and collaboration with cross-functional teams:

- Deep understanding of business processes and effective utilization of data to support product and service teams.
- Collaborated with cross-functional teams to deliver reporting needs, ensuring alignment with business objectives and regulatory requirements.
- Proficiency in navigating country-wise company registries and financial service registries.
- Familiarity with SharePoint for collaboration and document management.

Metrics design, dashboard creation, and data transformation:

- Designed key metrics to measure various aspects of the business and created dashboards for tracking.
- Built systems to transform raw data into actionable insights, leveraging BI tools such as Tableau and PowerBI.
- Used Cosima, GRID, and FinScan for real-time screening.
- Proficient in LexisNexis Bridger Insight XG for enhanced due diligence.

Risk modeling and assessment:

- Utilized tools and methodologies such as Tedd, Lexis-Nexis for evaluating client data systematically.
- Experience in retail risk modeling and assessment, deriving actionable insights from financial and non-financial data.
- Experienced in Fenergo for client life cycle management.
- Expertise in Enhanced Due Diligence (EDD), including screening for PEPs, sanctions, adverse media, and ABC risks.

Documentation, reporting, and process improvement:

- Meticulous documentation of methodologies, assumptions, and findings for transparency and reproducibility.
- Actively drove process improvement initiatives, seeking opportunities for change to enhance team efficiency and effectiveness.
- Knowledge of Programming paradigms and concepts.

Work Experience

Client Onboarding Specialist

UBS Group AG, July 2021 – Present

- Collaborated with cross-functional teams across the organization to gain a comprehensive understanding of business clients for mitigating potential risks, and fostering strong relationships with SMEs and business leadership.
- Responsibilities encompassed the solicitation, research, and thorough review of various documents, including legal papers, to perform due diligence and verify client information and identification.
- Demonstrated effective teamwork with the sales department to procure and validate essential documentation while adhering to Customer Identification Program (CIP) requirements.
- Conducted detailed investigations to identify negative news, political affiliations, and potential criminal activities.
- Meticulously researched and compiled documentation affirming the good standing of active, registered, and chartered companies.
- Analyzed ownership structures and assessed the nature of businesses, processes, and informational flows, providing critical insights for risk assessment.
- Maintained the accuracy of entity information by updating records within the AMC database.
- Actively work to support the team and leadership to meet set objectives and key results.

KYC Specialist

J.P. Morgan Chase & Co, October 2021 – June 2022

- Conduct regular evaluations of existing clients per established policies and procedures.
- Analyze client data systematically and meticulously document their findings.
- Gather relevant information from both branch personnel and customers.
- Demonstrate effective and efficient communication with internal stakeholders to secure necessary KYC documents.
- Cultivate a comprehensive understanding of the client's business and its affiliated entities, enabling the proactive monitoring of client activities for any unusual transactions.
- Assess the level of risk associated with each customer.
- Utilize a range of research tools, including Tedd, Lexis-Nexis, and internal resources, for in-depth due diligence and analysis.

Senior Process Executive

Gallagher Service Center LLP, (a subsidiary KPO of Arthur J. Gallagher), August 2017 – April 2021

- Independently verify KYC information provided by the front office to ensure data accuracy and compliance.
- Proactively drive process improvement initiatives, actively seeking opportunities for change that benefit the broader team.
- Contribute innovative ideas and actively participate in efforts to further enhance and streamline processes.
- Conduct periodic KYC reviews based on a risk-based schedule, ensuring compliance with established policies and procedures.
- Skillfully manage key client relationships and act as the primary point of contact for stakeholders.
- Lead special projects aimed at resolving issues related to high-volume and high-risk KYC (Know Your Customer) populations.
- Confirm and validate changes to client data with precision.
- Perform thorough background checks and conduct in-depth negative news searches.
- Identify red flag situations and escalate them per established policies and procedures.
- Ensure the appropriate and confidential handling and sharing of sensitive information.
- Manage complete KYC onboarding for new and existing customers, including KYC refresh, by reviewing client documentation, vendor databases, and data entered into proprietary systems.
- Conduct sanction screenings to identify any financial crime/sanctions concerns and review politically exposed persons (PEPs).
- Assess the financial strength rating of clients using resources such as S&P Global, AM Best, Fitch, and Moody's websites.
- Update questionnaire-based risk scoring sheets to effectively articulate potential risks.
- Provide training to new analysts at various levels of KYC.
- Conduct quality reviews for due diligence checks.
- Assist in work distribution and the execution of projects.
- Monitor project progress at regular intervals, promptly escalating pending queries to the onshore team.
- Successfully manage multiple projects concurrently, consistently meeting all deliverable deadlines.
- Collaborate with management to implement process improvements, coach and train staff, and actively participate in the development of these improvements.
- Assist in the collection of necessary information and statistical data to perform statistical and trend analysis, contributing to the generation of Area MIS reports.

Special Achievements:

- Received the "Spotlight" award for proactively leading the SharePoint transition.
- Recognized as the "Star of the Month" for successfully managing multiple projects concurrently and consistently meeting all deliverable deadlines.
- Honored with the "WOW Award," nominated by colleagues, for being a valuable team member.
- Designed an Excel utility that enhances employee performance through real-time checklists. This utility reduces the likelihood of errors during transaction processing and aids in meeting Service Level Agreements (SLA).
- Developed Excel dashboards and activity trackers to create quick reports using Macros for weekly and monthly reporting and contributing to process efficiency.

Education

- Bharati Vidyapeeth's College of Engineering, Kolhapur, Maharashtra
 - Bachelor of Engineering in Information Technology, May - 2015
- S.M.Lohia Jr College, Kolhapur, Maharashtra
 - HSC Board, May - 2011
- Irwin Christian High School, Kolhapur, Maharashtra
 - SSC Board, May - 2009