



RAJESH KUMAR GUPTA

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Summary:

- A seasoned finance operations leader with over 17 years of experience in banking and financial services industry proficient in legal entity controllership, regulatory assurance, group reporting & external results, accounting policy advisory, balance sheet, performance management and finance transformation.
- Demonstrated ability to drive **operational excellence**, automation and innovation in Finance through emerging technologies such as Workiva, Alteryx and Tableau.
- Highly skilled in independently managing small teams or overseeing large teams of professionals.

Academic and Professional Education:

- **Chartered Accountancy** (May 2008) and B.Com (Hons.) from the University of Delhi (2006)
- **CPA (USA)** from **California Board**, Cost Accountant (**ICWAI**), and Company Secretary (**ICSI**) (2009)
- Masters of Commerce in **Business policy** and Masters of Arts in **Economics**
- Leadership Skills course from **IIM – Ahmedabad**
- Certificate in IFRS (**ACCA**), Certificate in **Global Financial Markets** (Stratadigm) and **Diploma** in Information System (**DISA**)

Career Summary:



Assistant Vice President – Sr. Operations Manager at Bank of America since Jun-19

Bank of America is a premiere US based bank having operations across the globe and ranked in top 10 banks in the world. **Leader** for **Controllershship** Function, Management Reporting (**FP&A**) and **Operational Excellence** (OpEx) for **Asia** and **Europe**.

Job responsibilities are:

- Established and led a team responsible for **Legal Entity Controllership**, **Management** and **Financial reporting** for Investment, Mortgages, Special Purpose Vehicle (SPV) entities and Broker Dealer (**Merrill Lynch**) businesses across UK, Europe and Asia including Month-End closing, FP&A, Financial and Regulatory reporting, Audit, Automation, Control & Governance.
- Providing **capital forecast** for entities, proposing capital injection or dividend distribution and **Financial Planning** and delivering monthly, quarterly financials and **business performance reports**.
- Managing tax function, quarterly Tax Forecast, tax returns and **Tax Reporting**. Additionally **Transfer Pricing** recharges, intercompany allocations for management cost, corporate workplace, and Legal Entity Shared Expenses etc., identify business drivers, ensured Regulatory Compliances of Reg-W and taxes, and annual **TP Documentation** and Reporting.
- Support for **special audits** from [external] regulators, market participants, [internal] compliance, corporate and ensuring always ready for audit.
- Leading workgroups for **legal entity rationalisation** and partner with business, treasury, cosec, compliance, technology and various others to decide and execute entity formation and closure.
- Partnering with treasury, corporate secretary, business operations, account payables and group companies to manage finance operations, cash flow and **Foreign Exchange process**.

- Identifying and managing risks and End User Computing (EUC), raising self-identified audit issues (SIAs). Ensuring sustainable operations for financial accounting and reporting function and governance of **SOPs** and **procedure documents**.
- Delivering local **Regulatory Reporting** to PRA, Bank of England, Financial Conduct Authority and Securities and Futures Commission for Capital and Liquidity Returns, Mortgages return, financial resource returns, etc.
- Ensured Regulatory Assurance with through SOX Controls review and Authorised Data Source (ADS) for all Local-Reg for **United Kingdom, Hong Kong** and **US** Regulatory Reporting to Federal Reserve. Implemented **Data Governance** for all regulatory reporting via ADS and additional controls for non-authorised sources and driving improvements in data quality and **partnering with technology team**.
- Leading **Financial Statements** preparation, **annual statutory audits** of 30+ legal entities with Big 4 auditors, presenting results to board meetings and to operations leaders. Driving consistency and compliance of disclosures, auditor suggestions.
- Ensured compliance with **US GAAP, IFRS** and local GAAP reporting and driving projects like IBOR reforms, IFRS 16 on leases etc.
- **Implemented Automation** through emerging technologies **Alteryx, BI tools, Tableau and Workiva** for Month-end accounting, Group Reporting, data collaborations and functionalization.
- Leading a **team of Finance Professionals** focusing on capability building and delivering sustainable results across all line of businesses.

Projects Managed:

- Standardized management reporting across APAC with uniform templates, reporting frequency, and centralized reporting dashboards using Tableau. Automated manual journal entries via Alteryx, improved revenue allocation drivers, and managed financial statements using Workiva.
- Led the **migration to Oracle Cloud**, ensuring seamless procedures, data reconciliations, and testing.
- Drive **Operational Excellence** through automation, simplification, consolidation, functionalization and governance. Initiated a Learning & Development program for Global Finance and developed pathways.

Prior Experience:



Financial Controller

Eli Global
(Investment Banking)

Dec-17 to Dec-18
1 year 1 month



Manager

HSBC
(Banking & Financial Services)

Dec-14 to Dec-17
3 year 1 month



Senior Consultant

Genpact Enterprise Risk Consulting
(Accounting & Auditing)

Mar-11 to Jul-13
2 year 5 month



Consultant

Firm of Chartered Accountants
(Accounting & Auditing)

Feb-06 to Mar-11
5 year 2 month

Work profile -

- Proficient in accounting and financial reporting operations for both **US GAAP** and **IFRS**, encompassing **Regulatory Reporting** and Management Internal Reporting.

- Successfully managed diverse regulatory returns for **APAC, EMEA, and US** regions, ensuring compliance with SFC, HKMA, PRA, SEC, etc., specifically for Liquidity, Leverage, and FinRep Reporting.
- Demonstrated expertise in implementing and testing **IFRS 9** for financial products and proficiently handled Tax Reporting and Lease Reporting as per **IFRS 16**.
- Adept in conducting financial analytical reviews, providing insightful commentaries and variance analysis, and effectively reporting Leverage ratios for liquidity purposes.
- Skilled in budgeting and **Financial Planning Analysis** at product and business levels, closely collaborating with CXOs and P&L leaders to maintain variance control.
- Proven ability to collaborate with internal and external auditors (Big 4s) to ensure strict regulatory compliance and SOX Documentation, compliance, and control assessment, including SOP reviews.
- Strengthened internal controls, checks, and risk management in financial processes, ensuring process optimization and adherence to best practices.
- Proficient in overseeing FTE billing, projects resource, and timesheet management, with substantial experience in both on-shore and off-shore Team Management and migration support.
- Engaged in international consulting projects, providing Statutory Audit support to global Fortune 500 clients for their Big 4 auditors, involving process flow documentation, **re-engineering**, internal audit, **SOX**, and risk advisory projects.
- Proven capability in client engagements, project execution, governance, business development, and reengineering, including preparing SOWs/debriefs, conducting client visits, and strategic project planning and proposal preparation.

IT and Other Skills:

- Proficient in a wide range of IT tools and systems, including:
 - Workiva for streamlined reporting and data collaboration
 - Alteryx for automating complex data processes
 - BI tools such as Tableau for data visualization and analysis
 - SAP and Oracle for accounting, data retrieve through smart view cubes etc.
- Other Skills:
 - Financial analysis and reporting
 - Budget planning and forecasting
 - Regulatory compliance and reporting (SFC, HKMA, PRA, SEC, etc.)
 - SAP processes and transactions
 - Team leadership and management
 - Automation through tools like Alteryx, BI tools, Tableau, and Workiva
 - Internal controls and risk management
 - Project management and international consulting
 - Advanced Excel and data mining skills

Other Details:

Date of birth	Nov 19, 1985
Current location	Delhi NCR