

Akshay Gupta

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Professional Summary

Seasoned Analyst working in the HNI Wealth Management Space across a range of roles from end to end reporting to sales, client management and KYC or AML process.

Persuasive negotiator who uses integrity and professionalism in identifying new leads and promoting sales. Innovative thinker who detects more efficient ways of growing company assets by recommending new products, revolutionizing current product offerings, and testing new market approaches.

Work Experience

PIONEER CLIENT ASSOCIATES

Apr2021-Present

Senior Analyst

Working as a Senior Analyst in the Family/Home Office Wealth Management Market. Primarily responsible for process adherence and reporting of Managed Assets and Client Data:

- 1 Preparation of Monthly reports for the clients
- 2 Tracking balance sheet movements of the clients' portfolios
- 3 Revision of the asset allocation if there is any deviation
- 4 Comparison of the mutual fund along with their respective benchmarks
- 5 Recommendations are designed after the portfolio review & shared with the clients
- 6 Assisting the operations team in executing the financial transactions of the clients

PIONEER CLIENT ASSOCIATES

Nov2019-Mar2021

Analyst

- 1 Client consulting and execution for Liquidity Management and Financial Planning.
- 2 Tax and regulatory reporting and calculation of month on month performance of various class assets.
- 3 Run the monthly client portfolio performance reporting pipeline and generate and reconcile all investor reporting, such as investor capital statements.
- 4 Transaction execution and coordination with the Asset Management Companies (AMCs).
- 5 Support aspects of client onboarding to ensure compliance with Anti-Money Laundering (AML), Know Your Customer (KYC), Customer Information Program, SEBI and PMLA guidance requirements.

HDFC BANK

Apr 2019-Nov2019

Assistant Manager Finance

Was responsible for handling wealth portfolio of HNIs, cross selling and up selling and Lead Generation/Closure. Managed investments worth ~INR 10.2 Crore for the customer base

Key day to day responsibilities included:

- 1 Trained and supported other sales associates and cross trained tellers
- 2 Ensured that customer concerns were handled efficiently to maintain positive customer relations
- 3 Utilized strong analytical and problem-solving skills to derive innovative solutions.
- 4 Furnished program and product information to all new clients as requested.
- 5 Designed and proposed sales and promotional campaigns to enhance client base

Key Responsibilities:

Operational overview, analysis, and insight derivation from key bank operating metrics like:

- 1 Maintaining and updating the financial MIS (Management Information System) reporting & dashboards, in addition to monitoring regular operations on requests like RTGS, NEFT & CTS.
- 2 Dealing with Saving Bank A/c's, Current Deposit A/c's & giving guidance, information to customer
- 3 Ensure complete KYC documentation with adherence to KYC standards, AML overwatch & timely disburse the loan.
- 4 Handling Fixed Deposit Section & giving information about ROI, Tenure to fill up 15G client & also/15H from customer.
- 5 Owning regulatory, audit, compliance, and control measures at the branch.

Certification:

Scored 72% marks in **NISM-Series-V-A: Mutual Fund Distributors Certification Exam.**

Core Skills:

- **Tools and Technologies:** CRM, Flex Cube, MS Excel, MS Word, MS PowerPoint
- **Industry Knowledge:** Finance, Retail Banking, Credit, Loans, Direct Sales, Risk Management, Insurance, Mutual Funds
- **Interpersonal Skills:** Customer Service, Negotiation
- **Other Skills:** Networking, Wealth Management Services, New Client Acquisitions.

Education

- B. Tech (ECE) from Kurukshetra University in 2014.
- Senior Secondary from Pratap Public School in 2010.

Awards and Achievements:

- Cleared Tier -1 SSC Exam.
- Rank 1st in group dance competition at "ALMA FIESTA 2014".
- Rank 2nd in group dance competition at "18th All India INTER-UNIVERSITY Youth Festival 2013".
- One of the Organizers at RPIIT's EXTEMPORE contest in 2010.

Personal Details:

Father Name : Sh. Rajesh Gupta
Date of Birth : 27th June 1992
Languages : English, Hindi, Punjabi
Nationality : Indian
Address : H. No:1436 Sector 9, urban Estate Karnal