



PREETI GUPTA

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WORK EXPERIENCE

JP Morgan Chase, Hyderabad

March 2021 – Present

Senior AML Analyst

Responsibilities:

- Conducted initial analysis and assessment of alerts using internal/external research tools
- Being A KYC quality reviewer Team member, I review the records completed by production team to ensure all client KYC records are compliant with regulatory standards, and will ensure high quality and timely completion of all client-level due diligence. I assist in end to end Operations Reviewer and the client-facing team. This research is performed to ensure a client's KYC profile is appropriately updated and any discrepancies or issues with the profile escalate to the appropriate lines of business.
- Review of confidential client data via publicly available and internal sources
- Understand the firm's KYC requirements when reviewing documentation inclusive of Customer Identification Program (CIP), Standard Due Diligence (SDD), Enhanced Due Diligence (EDD), Local Due Diligence (LDD), Specialized Due Diligence(SpDD) and Product Due Diligence requirements (PDD)
- Compare and contrast differences within KYC records, highlight amendments required to production team and also highlight escalate to compliance in case of AML Red flags
- Meet firm wide quality standards
- Ensure the review of the records are complete within the due date and also SLA deadlines
- Exhibit the highest standards of customer service to our internal and external customers (inclusive of confidentiality)
- Communicating/escalating issues to management when applicable
- Handling and maintenance of confidential client documentation
- Be part of the holistic client review team to follow up on outstanding alignment items within various LOBs and/or GFCC to close loop on the alignment
- Be flexible to work on other migration/remediation projects including Screening resolution, other LOB holistic alignment or Quality Assurance
- Comment on trends/behavior relating to account due diligence and activity review
- Ability to comprehend the KYC risk factors and draft the overall risk summary for the client

**HSBC DATA PROCESSING INDIA
PVT LTD, Hyderabad**

October 2018 – February 2021

KYC ANALYST / AML Investigator

Responsibilities:

- Taking Prompt action in resolving the cases assigned by the higher levels.
- Monitoring and checking of KYC details of customers.
- Reviewing the transaction done by the customers and identifying the anomalous activities if any.
- Potential fraud data identified during investigation is recorded and escalated for further action
- Genuine transactions identified post investigation is appropriately recorded and closed.
- Providing necessary feedback and coaching for the errors committed by the fellow colleagues.
- Perform back up, assist in special projects and other duties as assigned.

ICICI BANK, Hyderabad

April, 2018 – September, 2018

NRI Sales Officer for India Region

Responsibilities:

- I worked as a NRI Sales officer in ICICI Bank where I deal with providing financial solutions to meet the requirements of the NRI customers and ensure value added customer service.

And also to be in close contact with the existing customers through mailers and phone calls and share insights on the fluctuations in interest rates, exchange rates and various product offerings. Increase customer engagement through cross - selling investment Products like Life Insurance, General Insurance, Gold Coins, etc. and other non-investment products like Forex, Remittances, Loans and many more

**PROJECT SALES
CORPORATION, Visakhapatnam**

April 2017 – Jun 2017

Internship

I have Experience of 3 months as an Intern in Project Sales Corporation and my responsibilities include:

- GST Draft Law – Key issues that are of concern to Project Sales Corp
- Migration from VAT to GST regime, regulatory requirements
- HSN codes under GST and listing HSN codes for PSC Product Range
- Overall tax implications for imports, domestic sales and exports under the GST regime to PSC
- Codification under Tally ERP for the new HSN Codes
- Following up with customers and suppliers for updating of the GST Registrations in their vendor masters

ACADEMIA

I am a Certified Industrial Accountant from the Institute of Computer Accountants and hold the following Certificates:

- Microsoft Office (Excel, Word and PowerPoint)
- Tally ERP.9
- Intuit QuickBooks
- Internship certificate from Project Sales Corporation
- Diploma in Event Management for St. Joseph College For Women's Vizag.

EDUCATION

MBA

Osmania University

Aug /2020 – April /2022

B.COM

Andhra University

July/2015 – March/2018

Intermediate

CGBSE

July/2012 – March/2015

10th

ICSE

July/2011 – March/2012

INTERESTS

- -Inquisitive nature to drive improvements.
- -Persistent problem - solver.
- -Strong attention to details.

REFERENCES

References available upon request.