

# KIMSI PRAKASH

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## SYNOPSIS:

Dedicated, versatile and 10 years of industry experience within field of KYC-AML (Client on-boarding, Periodic Review, Due Diligence, Remediation & Renewal, Periodic reviews, Transaction monitoring, SAR reporting, Sanctions, Sanction screening, Private equity, Venture Capital, merger & Acquisitions) and other KYC sub process, compliance, regulatory and Depository for both public and private sector organizations. A reliable and hardworking professional with strong organizational skills, attentions to details, ability to take complete ownership of issues, work independently with confidence and deliver within deadline in line with expectations.

## EXPERIENCE SUMMARY:

Have over 8 years of experience in KYC-AML domain.

Responsible to review account due diligence for multiple jurisdiction client types (United States, Canada, EMEA, APAC, Asia-Pacific, LATAM region), performing audit on client on-boarding, remediation, transaction monitoring, sanction screening, renewal and handling KYC processes for Corporate and Investment Banking clients. Completes extensive due diligence investigations using private and public databases in accordance with Anti-Money Laundering (AML), BSA and other regulatory standards to assist business units and prevent operational and reputational risks. Understanding the firm's KYC requirements when completing documentation inclusive of Customer Identification Program (CIP), Simplified Due Diligence (SDD), Basic Due Diligence (BDD) and Enhanced Due Diligence (EDD). Identifying and verifying the legal existence of clients, ascertaining risk classifications based on various factors like type of business, country of operation, politically exposed person, etc. Handling KYC processes for Corporate & Investment Banking clients and apply relevant country specific standards (LDD). Performing due diligence based on the level of risk and understand laws and regulations requirements. Identifying and verifying the legal existence of clients, ascertaining risk classifications based on various factors like type of business, country of operation, politically exposed person, etc.

## AREA OF EXPERIENCE

### Industries:

KYC-AML, Funds, Partnership, Trust, Corporation, Individual, Corporate Client, Transaction Monitoring, SAR Reporting, Private equity, Venture Capital, Merger & Acquisition

### Tools:

- Fenargo
- World-Check
- Lexis Nexis
- Mint Global
- RTS Share Point
- Factiva
- Bankers Almanac
- Orbis Report
- AWARE
- Panther
- GDS (Global Documentation System)
- GTS (Global Product Solution)
- LEO

### Operating Systems:

Microsoft office, Windows 10, Microsoft Excel, Edge

### QUALIFICATION:

Degree	Institute/University	Year
MBA (Finance)	University of Pune	2013-2015
B.sc Biotechnology	DAVV University, Indore, Madhya Pradesh	2008-2011
Senior Secondary Examination	CBSE	March 2007
Matriculation	CBSC	March 2005

### PROJECT EXPERIENCE

**Working with Accenture from August 2020 till date**

**Project Name** : Bank of America  
**Role** : Senior Analyst (QC)  
**Duration** : 28th Aug 2020 to till Date  
**Tools Used** : AWARE, GDS, GTS, Lexis Nexis, Mint Global, Panther, LEO, Panther, Bankers Almanac, Orbis

- Description: Responsible to review account due diligence for multiple jurisdiction client types (United States, Canada, EMEA, APAC, Asia-Pacific, LATAM region), performing audit on client on-boarding, remediation, renewal and handling KYC processes for Corporate and Investment Banking clients.

#### **Roles and Responsibilities:**

- Apply knowledge of KYC, BSA and AML regulations for research utilizing internet research, and third party vendor tools
- Sense of urgency/ability to work well under pressure, different priorities and tight deadlines
- Proven KYC Analyst experience with the ability to review and interpret complex data from a variety of sources
- Understand the relationship between customers and parties making transaction and providing decision on suspicious transaction alert
- Search previous transactions alerts and generate SAR against customers (if any)
- Consolidation of transaction close to threshold value when suspicious transaction alert is generated
- Performing an independent quality check of client profile updates during review process including Registration details, Client Corporate Structure, Client Senior Managers details, Screening and Client Risk Rating/Score to ensure adherence to regulatory requirements and bank policies
- Responsible for administering all aspects of the Bank Secrecy Act, USA Patriot Act, Anti-Money Laundering, OFAC, Customer due diligence (CDD) and Customer Identification program (CIP).
- Performing role of Lead and QC reviewer - handling a team of 5 members along with QC reviewer role
- Keeping record of daily attendance, productivity, monthly leaves and weekly WFO details of team member
- Consolidation of customer profile information when payment made with same IP address
- Transaction review and analyst usual transaction platform and provide detailed investigation on alerted transaction and identify source

#### **Worked with Tech Mahindra from (15th May 2015 to 27th Aug 2020)**

**Project Name** : Bank of Canada  
**Role** : Senior Analyst (SME)  
**Duration** : May 2015 to Aug 2020  
**Tools Used** : World-check, Factiva, Fenengo, Lexis-Nexis

#### **Role and Responsibilities:**

- Performed a role of SME and QC Reviewer for Client On boarding/Off boarding and KYC Remediation process
- Reviewed client data, documentation, and negative news to understand a client risk profile as established under AML and KYC procedures
- Responsible for performing Client on boarding / Client Review functions (Remediation and Renewal)

- Collecting and verifying confidential client data via publicly available and internal sources.
- Responsible for Account Due Diligences for Multiple client types & performing Client onboarding, Remediation and renewal.
- Identifying and verifying the legal existence of clients, ascertaining risk classifications based on various
- Factors like type of business, country of operation, politically exposed person, etc.
- Understanding the firm's KYC requirements when completing documentation inclusive of Customer Identification Program (CIP), Simplified Due Diligence (SDD), Basic Due Diligence (BDD) and Enhanced Due Diligence (EDD)
- Identifying and verifying the legal existence of clients, ascertaining risk classifications based on various factors like type of business, country of operation, politically exposed person, etc.
- Handling KYC processes for Corporate & Investment Banking clients and apply relevant country specific standards (LDD).
- Performing due diligence based on the level of risk and Understand laws and regulations requirements.
- Identifying and verifying the legal existence of clients, ascertaining risk classifications based on various factors like type of business, country of operation, politically exposed person, etc.
- Reviewed negative media alerts from client screening tools i.e., World-Check, Factiva, and Google Search
- Reviewed and ensure information collated from Onshore Team/RMs is correct and updated

#### **Worked with WIPRO from (March 2012 to Dec 2014)**

**Project Name** : Pitchbook

**Role** : Senior Analyst

**Duration** : March 2012 to Dec 2014

**Tools Used** : Bloomberg, Crunchbase, Lexis Nexis, Company House

#### **Role and Responsibilities:**

- Creating profiles for Venture Capital, Private Equity and Merger and Acquisition organizations and their financial specialists.
- Communicating with clients to understand and document the business objectives.
- Performing market research to discover the speculation.
- Analyse data on past sales to predict future sales.
- Experience in various third-party application tools like Bloomberg, Crunchbase and LexisNexis Company House and external Web sites/Company Registries E.g. Company House

#### **Achievements/Awards:**

- Awarded with Associate Consistently award in 2018 and 2019 in Tech Mahindra Ltd, Pune
- Awarded with the Star of Business Award (FY 2013) in Wipro, Pune

**Personal Information:**

- Father's Name: Vead Prakash
- Date of Birth: 14 Nov 1989
- Gender : Female
- Nationality: Indian
- Language Known: Hindi & English
- Hobbies: Listen to music and Travelling

**Acknowledgement:**

I hereby declare that all the information that I have furnished is authentic and true to the best of my knowledge.

Place: - Pune