Shilpi Sharma



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**OVERVIEW**

With a total 10 years of experience in Anti-Money Laundering process deployment and team leading for a leading NBFC I have been a part of a Big 4 company too. I am highly competent at screening, monitoring, and reporting, supplying actionable insights and perfecting as needed.

# WORK EXPERIENCE

**Team Lead | Managed Services**

*Tenure-* Feb 2022 – Till Date

*Organization-* KPMG Global Services Pvt Ltd (KGS)

*Responsibilities-*As a Team Lead, I have managed a team of 30 analysts. My team has worked on SEPA and EMEA transactions and have ensured that all sanction requirements are achieved.

Team was working for a UK based client and managed live transactions of the client which were happening in EMEA region. While managing / monitoring the transactions focus was on amount, location, and purpose of the transactions. Any suspicious activity such as deviation from profile, regular payment pattern or transaction happening in high-risk location were reported/escalated to the client for a better understanding and enhanced due diligence.

# Team was also working on sanction screening aspect of AML and screened the customers against various watchlists such as OFSI, OFAC, HM Treasury, UN Sanctions. Russian/Ukrainian Sanctions were also an add on and transactions happening this region was minutely evaluated due the current Russia /Ukraine war that is going on. Screening was done against all types of customers such as individuals, businesses etc.

So, the team was working on all types of sanctions such as Comprehensive, Sectoral and Targeted.

I have managed their day-to-day productivity training and quality Main responsibilities during this were as mentioned below: -

* *Onboarding and training analysts.*
* *Managing day to day shrinkage completing team activities as needed to cover abscesses, workload, shifts and volume etc. and reporting the same to the client.*
* *Making sure that the team achieves its daily/hourly productivity target.*
* *Keeping records of quality and giving feedback on weekly and monthly.*
* *To prepare PKTs and make sure the team and every analyst is on same page related to the product knowledge.*
* *Keeping the team up to date with all the recent changes and add-ups in process provided by the client.*
* *Making sure team is completing all the necessary learnings and trainings on time.*
* *Finding and evaluating the training requirement and supplying support to the team or to analysts.*
* *Doing 1-2-1 session with (individually) analysts to update them about their performance and making sure that all their performance queries sorted.*
* *Updating the client of the steps taken to ensure the quality of the work.*
* *To ensure more critical activities are addressed on priority.*
* *To manage tasks workflow to ensure completion and resolutions and prioritize tasks and needed.*
* *To manage department metrics and reports including report delivery, gap analysis and remedy implementations.*

Apart from this I also have been an active member of company’s cultural club which organize multiple fun activities online as well as on floor. I have taken part in multiple CSR activities organized by company.

**Asst Manager Financial Crime Compliance (internal Audit)**

*Tenure*: December 2019 – October 2021

*Organization:* SBI Cards and Payment Services Ltd

*Responsibilities:* As an internal compliance auditor I managed the monthly audit of the work done by all (30+) analysts, where they conduct transaction monitoring and sanction screening of a customer on various levels of a customer life cycle i.e., at the time of on boarding as well as the existing customers.

I have worked on multiple software such as Lexis-Nexis, SAS, Actimize, Delite, Vision+ and was a member of testing team when SAS was introduced in the organization for future screening and transaction monitoring process and have simplified the data sampling process to ensure equal number of alerts are audited of each analyst.

My core responsibilities were to ensure that: -

* *Training is provided to each analyst within the department about their respective work.*
* *Manage a team of analysts for day-to-day customer screening and transaction monitoring.*
* *To ensure all related CDD activities are processed following defined SLA policy and regulatory requirements.*
* *To contribute to ongoing success of the team through effective teamwork and where needed, supply ongoing coaching of analysts.*
* *To ensure team keeps correct and compliant records and documentation in a manner consistent with policy and process.*
* *ensuring prompt screening against PEP /Sanction individuals and closure of alerts within set timeline.*
* *analyzing any drop in performance and taking necessary actions for improvement such as training etc.*
* *sharing the feedback with analysts on regular basis about their overall performance in terms of PEP/Sanction Screening and Transaction Monitoring:*
* *to make sure that all found true hits (if on-boarded) are marked elevated risk on system and proper due diligence is used while transaction monitoring of these customers is performed and*
* *publishing a monthly report along with the score of every analyst basis on their work.*

Apart from this I have

* *Conducted day-day-day duties accurately and efficiently.*
* *Quickly learned new skills and applied them to daily tasks, improving efficiency and productivity.*
* *Performed duties by all applicable standards, policies, and regulatory guidelines to promote safe working environment.*
* *Developed and kept courteous and effective working relationships.*
* *Found issues, analyzed information, and supplied solutions to problems.*
* *Participated in continuous improvement by generating suggestions, engaging in problem-solving activities to support teamwork.*

I have obtained a certification from IIBF related to Anti-Money Laundering and Know your Customer (AML/KYC) and was also a part of testing team when company introduced new software (SAS) to manage its sanction screening and transaction monitoring activities in 2018.

**Sr. Analyst Financial Crime Compliance**

*Tenure*: April 2017 - December 2019

*Organization:* SBI Cards and Payment Services Ltd

*Responsibilities*: As a Sr. Analyst within the department, I have managed below mentioned responsibilities

* *Screening of new and existing customers against PEP/Sanction*
* *Transaction Monitoring*
* *Ensuring closure of alerts on time*
* *Oversaw Level 2 Escalations of watch list Screening as well as in Transaction Monitoring*
* *Preparing of Suspicious Transaction Reports and CBWT*
* *Oversaw Credit Balance refunds requests sent to compliance team.*
* *Vendor Screening.*
* *Finding True hits in terms of watch list screening and highlighting suspicious transaction trends to proper authority*

**Associate to Executive**

*Tenure*: August 2012 - April 2017

*Organization:* SBI Cards and Payment Services Ltd

*Responsibilities:*  joined the company as a Customer Service Associate-Outbound Sales and have achieved monthly targets on time with keeping excellent customer service. I am a confident communicator with the ability to work as a part of team and supply support to colleagues to achieve business goals.

# EDUCATIONAL QUALIFICATION

|  |  |  |
| --- | --- | --- |
| Programs | College/University | Year |

MBA (Retail Operations) Sikkim Manipal University Sep'08 - Jul'10

Bachelor of Arts Himachal Pradesh University Mar'04 - Mar'07

**REWARDS & RECOGNISTIONS**

For my performance in KPMG, I have received.

* Above and Beyond Award
* Gurus@Work
* Kudos
* Cloud 9-Outstanding Leadership

**CERTIFICATES**

* AML/KYC-IIBF (2016)
* SAS – Anti Money Laundering (2018)

**SKILLS**

Watch list Screening.

Transaction Monitoring

STR, CBWT, CBR

MS Excel, PowerPoint, Word, Pivot, V-Lookup etc.

Customer Handling.

**STRENGTHS**

* Honesty, Integrity, and Dedication towards work
* Team-Player, Active Listener, providing Feedback.
* Problem Solving and decision Making.
* Initiative-taking, Goal Oriented and Meeting Deadlines

**LEISURE TIME ACTIVITIES**

Surfing internet.

Listening Music.

Reading

**PERSONAL DOSSIER**

**Father’s Name**: Lt. Mr. Kamlesh Kumar

**Date of Birth**: 3rd Jul 1986

**Marital Status**: Married

**Nationality**: Indian

**Place of Birth**: Palampur

**Languages Known:** Hindi**,** English and Pahari

**Address (Current):** W/O Mr. Raghav Mishra Rama Niwas Kufari Dhar Ghanahatti Shimla Pin 171011

**Address (Permanent):** VPO Dheera Tehsil Palampur Distt. Kangra H.P. PIN 176101

I hereby declare that the information offered above is true to the best of my knowledge.

Date: Signature: