**KSHIRABDHI TANAYA MOHANTY**

Contact: 9742510287; [kt.mohanty@gmail.com](mailto:kt.mohanty@gmail.com)

FINANCIAL MARKET AND COMPLIANCE PROFESSIONAL

Financial Market professional with experience in Reference data, Content management, Corporate Actions, Secondary research, Regulatory Compliance, Surveillance, Market abuse regulations, etc. Detail-oriented, adept in internet research (secondary research) and gathering information from various sources. Skilled with good reasoning and written communication.

SKILLS

* Financial Market Reference Data Regulatory Compliance
* Fixed Income Entity Data Market abuse behaviours
* Corporate Actions Company profiling Surveillance
* Secondary Research KPO Privacy
* MS Office Financial Crimes Cyber Crimes

EXPERIENCE

* **Research Analyst**

**Freelance**

**February 2022 – March 2022**

* Conducted research using publicly accessible open sources online, to provide information on target subject to the Due Diligence team. Focused on basic details of the subject and found out negative news or court cases related to them.
* Compiled, check facts and edited reports into written document using various templates as per instructions.
* **Compliance & Surveillance Analyst**

**HSBC EDP (INDIA) PVT LTD - (FCTM-FCC- E communication Surveillance)**

**October 2018 – October 2020**

Assisted organization’s Financial Crime Compliance dept. in preventing financial and non-financial crimes, market abuse, misconduct, data privacy and information boundary violations, thereby securing its reputation in the market and ensuring that the businesses are operating in line with relevant laws, regulations, codes and Group Standards. Hands-on experience with DataMinder and CSURV tools.

* Reviewed, analysed and investigated alerts generated by the Global Market Surveillance system, to ensure risk within monitoring plan are mitigated and bank’s policy along with regional market regulations aren’t violated.
* Escalated instances of irregularities, unresolved and doubtful cases of potential violations along-with rationale for risks posed to regional hubs, and documented the findings related to policy reminders and consequence management.
* Performed background checks on employees’ information as available, in employee database.
* Responsible for EOD checks and daily TAT report to ensure that daily BAU tasks have been completed by the team and PLA for the day has been met.
* Responsible for sending out weekly chaser mails to different LOBs, regarding ageing cases.
* Prepared monthly Management Information (MI) reports and sampling reports, for different Lines of Business.
* Assisted in drafting of procedure manuals for new tool on surveillance.
* Prepared minutes of meeting on the discussions being held in team meeting.
* Updated weekly reports on restricted lists related to share-dealing and information access.
* ***R&D Project*** – Undertook R&D activity to reduce the volume of alerts, which are of insignificant nature.
* ***UAT testing*** - Participated in UAT of a newly developed tool to test its accuracy, efficiency and reliability with regards to identify and translate Non-English languages into English. Submitted report about the efficiency of the tool.
* **Senior Analyst**

**Magna – (Societe Generale GSC) - (June 2018 – October 2018)**

* Worked with KYC Reference data team on Client data management such as data remediation and modification by referring to authentic sites and publications such as KIID, prospectuses, press releases, etc. Reviewed and validated on the quality of data being collected and on-boarded by the KYC team.
* Updated information on Asset Managers, Delegated Asset Managers and Custodian for funds and corporate, on company’s referential database (RCT).

* **Financial Market Research Analyst**

**Thomson Reuters - (Fixed Income Content) - (May 2013-July 2016)**

Worked with Fixed Income Issuerfile team, which focused on content creation and maintaining information of Legal entities of North America & EMEA regions, by referring to various authentic sources such as SEC & SEDAR filings, Annual reports, Company filings, Registration Authorities, Government notifications, Edgar, Bankers Almanac, Factiva, FFIEC-NIC, Prospectuses, etc.

* Ensured and maintained reference data related to Bond and Sukuk issuing entities in the database with accuracy, completeness and in timely manner.
* Researched and updated parent-subsidiary hierarchy, corporate family tree in the company’s database.
* Collaborated with employees across the globe to sync correct information into the database.
* Monitored, researched and interpreted Fixed Income market events on daily basis, and updated database as soon as announcements related to Corporate Actions were executed.
* Contacted companies (Investor relations team) in order to confirm information about Corporate Actions and parent hierarchy of the affected bond issuing entities.
* Tracked on incoming queries from stakeholders as well as external clients and responded back, within the agreed timelines*.* Responsible for mailbox management, which included mail monitoring, categorizing and allotting them, for relevant actions.
* Provided Root Cause Analysis to the client queries, regarding the changes made in the database.
* Actively participated in team meetings and raised issues occurring in the working procedures.
* Single Point of Contact for covering New Issues (Bonds) of EMEA region. Provided skeleton coverage during regional holidays.
* Contributed towards considerable reduction of SRs.
* ***Data enhancement Project-***

Cleansed data on Parent hierarchy and Industry classification (NAIC/SIC) sector codes of the existing EMEA issuers in the database, as per the latest available approved sources.

* ***Databases Integration Project*** –

Involved in integration and enhancement project of Fixed Income and OA databases, in order to ensure that the same data is being reflected in both the databases.

* **Trainee Content Analyst**

**Ascent Staffing – (Thomson Reuters) - (May 2011-May2013)**

* Created content by researching and setting up company profiles and related parent-subsidiary hierarchy in the database. Managed adhoc requests from Bonds team (T&C) for creating data content.
* Allotted ticker, ISIN, CUSIP as per the convention, and processed Bonds reappointment requests.
* Worked on client queries and responded back within specified time.
* Supported data enhancements and cleansed them as per the requirement.
* **Market Research Analyst**

**CBGB (April 2010 – August 2010)**

* Researched and prepared reports on stocks as per client’s requirement.

EDUCATIONAL QUALIFICATION

* Bachelor of Science (**B.Sc.**) from Government Autonomous College, Rourkela, (2006).
* Master of Business Administration (**MBA**) from Biju Patnaik University of Technology, Rourkela, (2008).

CERTIFICATION

* Certified Financial Risk Management Professional by VSkills.
* Tally
* Introduction to CyberCrime – Foundation
* GRC & Privacy Professional

PERSONAL INFORMATION

Date of Birth 25 September,1985

Languages known English, Odia, Hindi

Kshirabdhi Tanaya Mohanty