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| **SONALIKA JHA**  **Targeting Senior Level Assignments**  **Finance | Regulatory Compliance** | | |  |  | | --- | --- | |  | +91 7411342943 | |  | Bangaluru-560056, Karnataka | |  | sonalika203@gmail.com | |
| **AREA OF EXPERTISE**  **Financial Policies & Procedures**  **Product Process Improvement**  **Crossfunctional Coordination**  **Regulatory Compliance**  **Benchmarking/Risk Management**  **Trade Settlement Process**  **Taxations**  **Operations Excellence**  **Mentoring & Knowledge Sharing**  **Leadership & Team Management**  **Performance Monitoring & Evaluation**  **Employee compliance**  **Fund management**  **Highlights**  **Results-Oriented**  **Client focused**  **Quick learner**  **Excellent communicator**  **Clean driving record**  **Honest and ethical**  **EDUCATION**  **Master of Business Administration (Finance)** from East West College of Management in 2013 with 72%  **Bachelor of Business Administration (Finance)** from East West College of Management in 2011  **TRAININGS**  Organized and participated in seminar on achieving sustainable competitive advantage in global recession  Participated in workshop on innovation. A key of India’s economic growth  **ACCOMPLISHMENTS**  Got accolade for anchoring various events like seminar, fests etc.  Received best manager award in symbiosis fest  **PROJECTS**  **Title:** A Global Financial Crises and Its Effect on Indian Financial Market  World's economic crises and their impact on the Indian Financial Market With the increasing interconnectedness of the Indian economy and financial market with the rest of the globe, there is acknowledgement that the Indian economy does face certain downside risks from these foreign developments. The risk stems mostly from the anticipated reversal of capital flows, which will slow down the world economy and, thus far, the Indian market.  **COMPUTER SKILLS**  **MS Office**  **MS Word**  **PowerPoint**  **SOFT SKILLS**  **Result-oriented**  **Problem Solver**  **Communicator**  **Collaborator**  **Planner**  **PERSONAL DETAILS**  **Date of Birth:** 17th February 1990  **Languages Known:** English, Hindi,kannada | |  |  |  |  | | --- | --- | --- | --- | | **PROFILE SUMMARY** |  |  |  |  * **Performance-driven professional** with 7.5 years of rich & extensive experience in Corporate Compliance Program, Project Management, Regulatory Compliance for Trade Settlement, Taxations, Quality Assurance and People Management * **Operations Specialist** with excellence in gathering and understanding requirements of clients & other multiple stakeholders (at strategic and tactical levels), followed by translation into functional specifications as well as provisioning of suitable solutions * **Confident, dedicated operations acumen** with career long record of promotion, stakeholder satisfaction, team building and strategic insight, poised for next level of success in senior positions * **Interfaced with top management** for evolving strategic vision, driving change, infusing new ideas and taking enterprise system performance & productivity to next level * **People Leader,** who has successfully led and motivated teams in cross-cultural environment towards growth and success in the organization; created a clear & compelling view of future through coaching and execution * **Forward-focused Project Manager** with exposure in swiftly completing projects with competent cross-functional skills and ensuring on time deliverables within pre-set parameters; using Agile and Waterfall software implementation methodologies * **A strategist** with recognized proficiency in spearheading business to accomplish corporate plans and goals successfully  |  |  |  |  | | --- | --- | --- | --- | | **WORK EXPERIENCE** |  |  |  |   **Jan - Till Date | Deutsche | Bengaluru as Team leader**  **Key Result Areas:**   * **Ensured implementation of ethics** and compliance policies and procedures under employee compliance * **Evaluate work methods and makes suggestions** for reconciliation methods which improved efficiency and productivity with root cause analysis. * **Working of Traded S&P 500 stocks** and ETFs based on contract notes given by broker. * **Reconcilation of Trades an average** of $400K daily in personal investment portfolio. * **Execute large volume intraday and swing trades** based on current market condition analysis overlaid with technical analysis in international arena. * **Working on contract notes** based on approval given to employee * **Documented specific portfolio restrictions**, funds received or disbursed, client communications, and updating to employee based on deutsche restriction list. * **Proactively develops and maintains strategic** relationship with current and new employee of dautsche. * **Reports of trade region strategies**, identifying root causes and financial gains.. * **Delivered exceptional client experiences** through hands-on leadership of associates and managers. * **Delivered hk statement and german reconciliation.** * **Established clear performance goals and metrics for revenue**, P&L, Employee service and Employee retention with due diligence. * **Aided senior leadership** during executive decision-making process by generating daily reports to recommend corrective actions and improvements. * **Delivered positive Employee compliance experiences** by implementing effective quality assurance practices. * **A good knowledge of the Trade product set**, particularly BGI’s (Bonds Guarantees and Indemnities * **Excellent relationship skills** – communication ability to build relationships with Clients, Coverage teams and third parties * **Knowledgeable across trade product** suite with a good knowledge of Trade procedures and industry standards   **Nov’21 – July22 | State Street Bank | Bengaluru as Senior Associate**  **Key Result Areas:**   * **Instituting & executing operational strategies,** making high-stake decisions and overcoming complex business challenges using experience-backed judgment, strong work ethics and irreproachable integrity * **Creating & sustaining a dynamic environment** that fosters the development opportunities and motivates the high performance amongst the team members * **Developing project baselines & controlling** the same with respect to cost, resource deployment, time overuns & quality compliance to ensure satisfactory execution of projects * **Collaborating with:** * **Stakeholders while keeping** them informed of progress and issues in order to manage expectations on all requirements and deliverables with due diligence. * **Existing team leads** to design and implement initiatives for continuous improvement in their functional areas in client-related funds * **Working on determining the funds** that each client is holding in short-term funds and long-term funds and what kind of derivatives, futures, and funds are being held in sec lending. * **Functioning and monitoring on funds,** preparing reports from daily segregation on fund changes, and collateral for prospective clients; performing on the codingof the clients funds. * **Maintaining daily deliverables for the 7 clients** and preparing reports on a monthly, quarterly, and semi-annual basis and working on funds using client requirements as far as policies and procedures are concerned and the funds are handled * **Understanding risk at the operational level** & complying with risk escalation chain including timely escalation of issues in sec lending reporting. * **Creating internal and external relationships** / networks to secure a victory client deliverables, execute benchmarking assessments, and support in the establishment of measurement frameworks to demonstrate progress against important priorities * **Carrying out analytical reconciliations** and implementing enhanced efficiency on current procedures, finances, and trade disparities * **Providing project management and leadership** on projects involving Wholesale Credit and Liquidity Risk Management processes * **Leading audit engagement teams,** performing timely review and providing honest and constructive feedback * **Knowledge and understanding of regulatory reporting**  Central Bank of Ireland, Federal Reserve. * **Perform the review of regulatory and client guidelines** to ensure accuracy and   efficiency of existing rules coded and/or to code relevant rules on order  management system.Experience with regulatory environments such as SFC, CSRC, SEC, ERISA,CSSF and FCA .  **Jun’20 – Oct’21 | Amazon | Bengaluru as Senior RP Associate**  **Key Result Areas:**  **Define Phase -**   * **Implemented high level strategies** for process improvements to enhance process efficiency, quality, and customer experience * **Ensured that Amazon transactions** satisfy legal and safety requirements in accordance to the guidelines across global market place * **Proactively identified risks involved** while doing business in various countries and enabling smooth flow of products across international borders * **Kept Compliance Risk Management framework** aspects such as a legal inventory and documentation of compliance controls up to date. * **Evaluating and designing B2b'** processes and control environment to ensure compliance with laws regulations and GE standards, build up effective monitoring mechanism and maximize added value to the business. * **Ensures that control tasks** defined are performed in a timely manner and with respective attention to their quality, in case errors/mistakes occur, Internal Control ensures that corrective actions are taken. * **Protected customers from products** that are illegal, hazardous, unsafe, or otherwise prohibited/regulated by Law and Polocies * **Defined, applied, defended** regulatory policies and contractual requirements * **Offered compliance advise** to business projects and working parties in connection to new goods and initiatives * **Participated in review meetings** with the team to discuss about the progress of projects as well as for identifying gaps and suggesting effective solutions for the same * **Assist in the preparation &** implementation of product programs. * **Perform Internal Control Risk Assessment** and monitor the implementation of established action plans with due diligence. * **Prepare product filing of policy,** certificate, amendments and related forms. * **Experience in researching,** interpreting and applying complex state and federal rules, regulations, policies and procedure. * **Draft policies that clearly communicate** relevant compliance requirements to applicable lines of business, global functions and Compliance organization. * **Partner with Compliance Training & Outreach** to design employee training on relevant compliance policies, and/or procedures. * **Keep informed regarding pending regulatory** and industry changes, trends, and best practices and assess the potential impact of these changes on compliance policies. * **Recommends corrective action** or revisions to the divisions' policies and procedures based upon findings from internal audits, Compliance reviews, regulatory examinations, investigations and/or industry trends as appropriate.   **May’17–Aug’18 | Lore Software Solutions Ltd. | Bengaluru**  **Operation Communication support**  **Key Result Areas:**   * **Participated in day to day operations** and monitored activities related to Fix certification, configuration, etc., and engaged in production rollout * **Administered trade settlement process** in ITG and worked for client ITG and experienced with international and cross border settlements * **Managed client and broker fix** certification in the glbal environment * **Participated in various projects** related to the design and implementation of new and existing infrastructure as well as supported and administered a complex and rapidly growing environment and related components * **Ensured timely settlements** for over 50 markets worldwide and assisted clients with cross border settlements. * **Trained team members on Bloomberg,** Euroclear Systems and reconciled trade discrepancies as well as escalated unresolved discrepancies to management * **Verified customer directions** with broker confirmations, liaised with client support departments and brokers as needed to maintain all transactions are advised to the market by the published timeframes * **Perform day-to-day functions** contained in the unit's procedures such as researching significant increases in margin requirements, supervising trading patterns of member firms, liquidity usage, etc. * **Produce presentation materials and present** analysis to senior management and regulators with root cause analysis. * **Demonstrate and embed the** behaviors and proficiencies that build a risk management approach in the organization. * **Evaluating the adequacy and effectiveness of policies,** procedures, processes, initiatives, products and internal controls; and identifying issues resulting from internal and/or external compliance examinations. * **Prepared internal quarterly and annual** portfolio monitoring reports. * **Reconciled fund share transactions** and resolved discrepancies. * **Settles trades accurately** and in a timely manner.   **Jan’16–Apr’17 | NZ Tax Refunds | Bengaluru as Research Analyst**  **Key Result Areas:**   * **Maintained current and thorough understanding** of the laws and regulatory rules that the company must follow IRD policies and procedure. * **Performed as an integral member** of the team in terms of knowledge resources for all compliance-related matters . * **Advisor for tax** based on the regulation set by IRD. * **Governed the distribution** of compliance-related material to IRD in order to ensure familiarity with compliance rules; collected, analysed & reported on pertinent statistics * **Reviewed legal papers** in the supply chain of taxation, completed mandatory tax reporting on time, and developed and updated tax provision schedules. * **Pick up adhoc** requests on priority**.** * **Understand and comply with all relevant policies** and procedures issued by the Group**.** * **Communicate clearly with team members** and other parts of Global Taxation & Markets as required. * **Perform business control risk assessments,** working closely with management to ensure compliance with IRD policies. * **Being single point of contact** during audit and support it through. * **Assists the legal department** with regulatory examinations, corporate audits, and Internal audits * **Leads the team by maintaining awareness** of major regulatory changes affecting assigned business(es) * **Ensures appropriate development** and communication of policy/ procedure changes to remain fully compliant with applicable laws and regulations * **Effectively interfaces with senior Compliance** and business management regarding relevant compliance obligations, including key risks and controls within compliance areas.   **Apr’14–Oct’15 | Northern Trust Bank | Bengaluru as Financial Analyst**  **Key Result Areas:**   * **Acted as a Single Point of Contact for IMLG process** in Northern trust and established & maintaining client account and Trade data, worked with 15 million trade transaction * **Reconciled trade discrepancies** in risk management trades and escalated unresolved discrepancies to management; minimized risk associated with settlement failure. * **Knowledge and understanding** of regulatory compliance requirements * **Administered end to end report of Trades analysis,** Brokerage analysis, Dividends analysis, Corporate Transaction, Tax Analysis, and Income paid, Income received Research Analysis based on Client requirements * **Managed 64 Clients** by preparing their MIS reporting by Studying the economic and business trends and guiding risk reporting. * **Experienced with Capital Markets** particularly about Investment banking and data flows**.** * **Implemented an account reconciliation** system that eliminated manual   processes and redirected 360+ person-hours to other value-added activities.  Overhauled financial reporting by 50+ product lines, improving  decision-making and reorienting leadership direction toward bottom-line  growth.  Provided financial information on equity offerings deemed eligible for  investment by 80+ institutional clients.  Evaluated alternative investment strategies based on historical data of 40+  comparable companies in similar industries. | |