



# Swapnil Dutta

**Manager (GFCC) – Enhanced Due Diligence (Risk & Compliance)**  
#409, 4<sup>th</sup> Floor, SJR Residency, Devarabisanahalli, Bangalore – 560 103

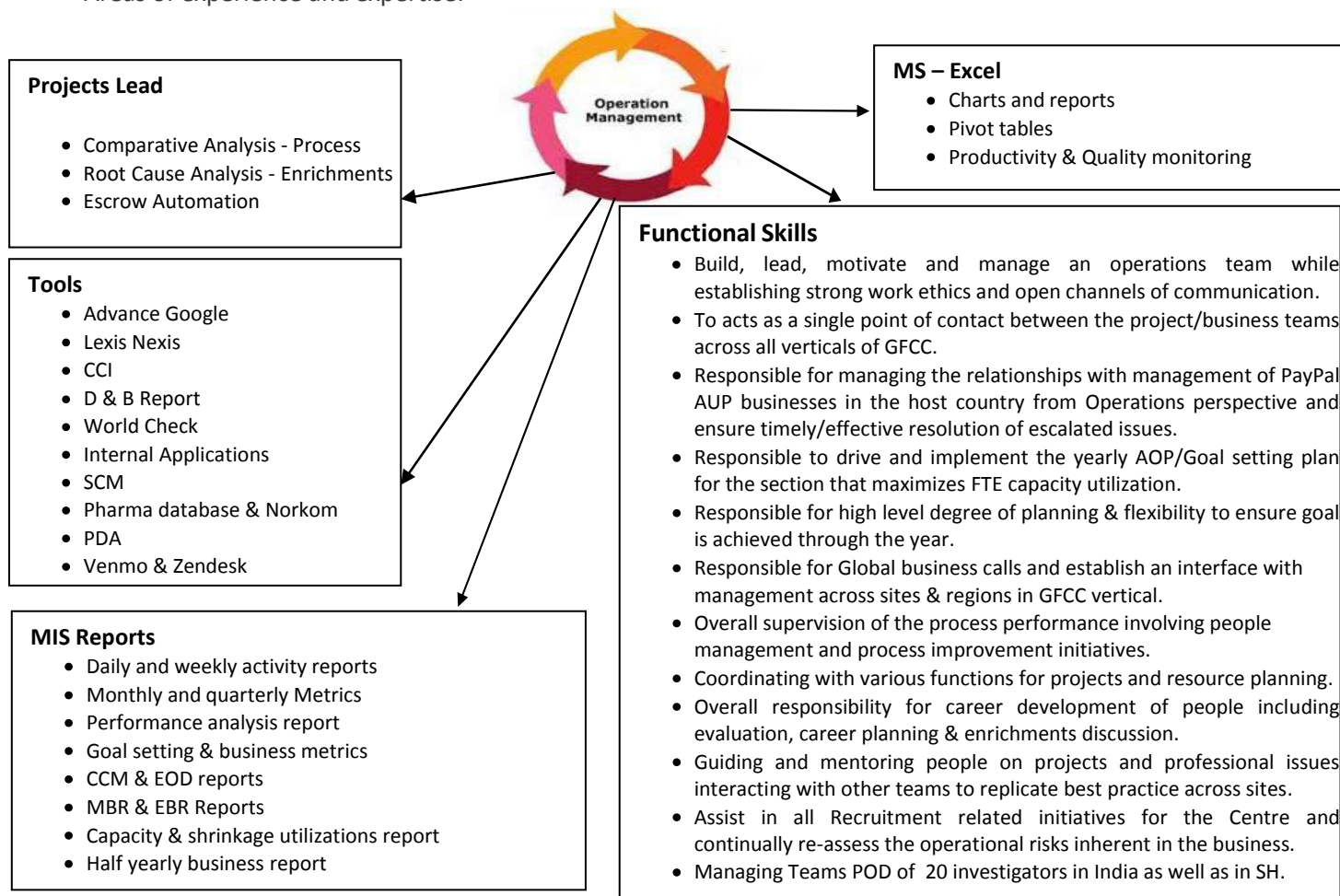
+91 9686427175 || neel.dutta@gmail.com  
"Change is the way to Survive"

## SUMMARY:

Dynamic results oriented professional with experience in Risk & Compliance. Effective team player; Confident and poised in interaction with individuals at all levels. Detail-oriented and resourceful in completion of tasks with the ability to multi-task effectively.

## WORK EXPERIENCE:

- Full-time work over all experience of 9 Years & presently with **PAYPAL INDIA**.
- Areas of experience and expertise:



## COMPETENCIES:

Communication Skills, Problem Solving, Investigations, Team handling, Coaching, Mentoring, Peer Support

## HIGHLIGHTS:

- 1<sup>st</sup> Global Shoutout Award in BRM Bangalore.
- Reserve Bank of India – Jump Award for IDP Track in SWARNI -Tech sprint 2022 Digital India Progress.

## PREVIOUS EXPERIENCE:

Company Name	Role	Responsibilities
<b>JPMorgan &amp; Chase Co.</b>	SOA	<ul style="list-style-type: none"> <li>• Accurately and thoroughly assessing investigator quality and leveraging best practices to provide coaching and constructive feedback to investigators to ensure high quality decisions and appropriate review of potential suspicious activity.</li> <li>• Applying analytical techniques to complex information sets to make logical and effectively supported recommendations on cases.</li> <li>• Using the best coaching and mentoring practices to ensure success in the following daily efforts.</li> <li>• Conducting an end-to-end and meticulous review of potential illegal or suspicious activity, or activity otherwise in violation of company policies.</li> <li>• Completing a time-sensitive and meticulous analysis of each instance of potential Anti-Money Laundering activity and/or suspicious financial activity across multiple jurisdictions and countries.</li> <li>• Assessment of customer profiles and large amounts of data to ensure normal and expected activity, including Acceptable Use Policy adherence and know Your Customer efforts.</li> <li>• Assessing quality of documented findings in narrative style format, in the manual and automated process case management system and preparing reports to management or coaching plans, as required.</li> <li>• Regularly exercising good judgment and in making decisions or recommendations in relation to case investigations and employee escalations from within your team.</li> <li>• Process Migration including process planning documentation, capacity utilization activities &amp; RCA related activities.</li> <li>• Training, Mentoring, Coaching new hires.</li> <li>• Creating training &amp; Mentoring plans on periodic basis.</li> </ul>
<b>AXIS BANK LTD</b>	AM – TRANSACTION BANKING (FOREX)	<ul style="list-style-type: none"> <li>• Involved in processing of account openings &amp; documentations</li> <li>• Processing of transaction as per KYC and AML norms</li> <li>• Documentation and Processing of Various</li> <li>• TFX Transactions – Buyers &amp; Seller Part.</li> <li>• Assessing the requirement &amp; implementing KYC project (Know Your Customer) for meeting the requirements on time.</li> <li>• Documentation and Processing of LG &amp; BG – Corporate Clients</li> <li>• Account opening and Transaction KYC for Corporate and Retail Clients.</li> <li>• Periodic review of KYC depending on the customer Ratings</li> <li>• Handling service and time to time updating clients as per RBI norms related to Current accounts and CMS</li> <li>• Processing of transaction as per KYC and AML norms</li> <li>• Competitor and Market analysis for Competitive rates</li> <li>• Resolved all queries from C &amp; IB, Branches – Forex Trade &amp; Documents</li> <li>• Managing of Huge Base Portfolio Customers on Corporate needs – Trade Transaction.</li> </ul>
<b>Gopalan Enterprises India Limited</b>	Sr. Executive	<ul style="list-style-type: none"> <li>• FFP preparation and Liaising</li> <li>• Preparation of Leasing documents</li> <li>• Valuation of Commercial and retail projects</li> <li>• Compliance Documentation</li> <li>• Preparation of leasing Agreement and MOU</li> </ul>

**EDUCATION:**

	SCHOOL/COLLEGE	UNIVERSITY/ BOARD	YEAR	STREAM/DEGREE SPECIALIZATION	SCORE
MBA + PGPM	Ramaiah Institute of Management Studies, Bangalore				
		Mysore University	2014	Marketing	69%
BBA (H)	Techno India Kolkata				
		WBUT	2012	General	7.94

**PERSONAL DETAILS:**

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Name : Swapnil Dutta  
Father's Name : Manik Ch Dutta  
Date of Birth : 4<sup>th</sup> July 1990  
Religion : HINDU  
Nationality : INDIAN  
Languages Known : ENGLISH, HINDI & BENGALI

**DECLARATION:**

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I, hereby declare that all the information given above is true to the best of my knowledge.

**Place:** Bangalore

(Swapnil)

**Date:**