

SUMIT GULLIYA

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OBJECTIVE

9+ years of multinational banking experience with cross-functional expertise in Regulatory Reporting under Mifid II, Emir , Dodd frank and HKMA and AML operations, KYC operations, quality assurance, Team Management, quality checks and process transition

SKILLS

- SQL
- Database Management
- Regulatory Reporting
- Risk and Quality Assurance
- People Management

EXPERIENCE

- **Bank Of America Continnum India**

July 2022 - Present

Assistant Manager

- Identify the root cause of Breaches under MIFID II Securities.
- Identify the data flow of internal systems for MIFID II.
- Create change request document(CRD) in order to remediate the breach.
- Create JIRA for tech team to make the necessary changes .
- Conduct UAT in dev and live post production and create test cases.
- Back report the impacted trades and work upon ack nach analysis.
- Preparation of Breach closure document and take relevant approvals from Compliance.

- **Saxo Bank**

Jan 2020 - July 2022

Manager

- Run SQL queries to analyze data from Datawarehouse and other applications.
- Worked in various SQL projects like Backoffice Application, Backoffice commander where trade and transaction data is stored.
- Identify the regulatory requirements in Transaction & Position Reporting (MIFID II, EMIR, ASIC, CNB etc.) to report accordingly and Working closely with business to perform business analysis on regulatory requirements and analyze the impact of changes.
- Investigate root cause in the reporting flow using internal applications and ensure non-repeat of errors
- Design and perform testing, develop scenarios and perform user acceptance testing.
- Performed daily monitoring and reconciliation of Trade and Position reporting
- Continuous interaction with Business and IT in order to Identify reason for rejections and breaks, fix the same and resend the impacted reports.
- Query Handling for large trader reporting (CFTC,CME)
- Design working instructions for various functionalities under regulatory reporting and Testing
- Manual Submission of transactions under HKMA, Nasdaq and Euronext.

- **Saxo Bank**

Dec 2018 - Jan 2020

Senior Associate

- Knowledge transfer of AML Screening Hits (FinScan Escalations) and ABC Alerts process from HQ (Copenhagen) of 10 FTEs
- Writing and Reviewing Standard Operation Procedures of each process in order to maintain 100% documentation of the existing process
- Involved in the designing and preparation of process maps and documents.
- Participated and encouraged team to provide Improvement and Innovation ideas from system and process perspective
- SME & Training Support to team to ensure that team is aware and updated on current country specific regulation AML and KYC requirements
- Performing 10% Sample AML Audit checks on Onboarded Clients for all geographies
- Ensuring all the Finscan escalations are timely visited and worked on along with Risk assesment form preparation with no back log
- Transaction monitoring, Monitoring the transactions made by the client using the Saxo Bank Investment Platform with the help of back of cash commander application.
- QC for all renewals (Periodic Review) done by analysts prior to account approval
- Performing the client renewals (Periodic Review) for the complex and high-risk clients.

- **Royal Bank of Scotland**

Sep 2013 - Dec 2018

Senior Associate

- Responsible for carrying out Investigation for Customer Due Diligence exercise in Business Banking-KYC (Corporate & International Banking - Know Your Customer) for any unethical conduct or breach of financial securities and regulatory compliance..
- Thorough understanding of the Structure, Identification and Verification requirements of different client types such as sole traders, partnership firms, limited companies, trusts and Unincorporated companies in Business Banking.
- Contact clients to obtain information about trading activity, income, liabilities and assets, transactions.
- Analyze Clients Financial record to determine their ongoing transactions authenticity.
- Analyze the risk associated with the clients and review them on timely basis
- Ensure the verification of the customer according to the risk associated with the customer and take corrective actions to mitigate the risk.
- Checking for Economic, Diplomatic, sanctions and embargos updates
- Preparation of reports and report to concern authority, if found anything suspicious.
- Maintained Compliance & Risk control documents
- Drafting and reviewing Suspicious Activity Reports.
- Processing of transactions in accordance with approved procedures & international regulations
- Plan, supervise, and review work of assigned subordinates.

EDUCATION

- **Guru Gobind Singh Indraprastha University**

2013

MBA

75

- **Guru Gobind Singh Indraprastha University**

2011

BBA

64