Roopkumar D

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Investment Banking – Treasury Operations – Team Management

Professional Snapshot

Investment banking professional with 12+ years of experience in various financial functions of banking operations. Proven skills in managing teams to work in sync with corporate parameters & motivating to achieve business and individual goals.

Areas of Expertise

➢ **Domains** : OTC Derivatives Trade capture, Derivatives trade validations , Rate resets, FX MM Confirmations, Credit Swap Validations, CLS Settlements, Tri-Optima, UAT testing and system implementation.

➢ **Products**: Forex, Money Markets, OTC Derivatives, Interest Rate Swaps, Credit Default Swaps.

➢ **Applications** : Murex , TLM, Bloomberg , Reuters, CLS GUI , LCM , OPICS , SC STAR, MARKITWIRE

Employment Details

➢ **Assistant Manager** – **Standard Chartered GBS**, Chennai from Jan 2007 – till date

➢ **Officer** – **Atlas Documentation Facility Services** (Associate of HDFC Bank) , Chennai – July 2006 – Jan 2007 – Debt Management

➢ **Junior Officer** : **S S S Enterprises** (Associate of ABN AMRO Bank), Chennai – May 2005 to July 2006 – Debt Management

➢ **Procurement Officer** – SRI Ranjani & CO , Chennai – Jan 2000 to May 2005

Educational Qualification & Personal Details

➢ Completed **Bachelor of Science**, from Pachaiyappas Collage Chennai in 1998.
➢ Pursuing **MBA Banking & Finance** from Symbiosis (Distance Education)
➢ Completed **Higher Secondary School** in Chennai, in March 1995
➢ **D.O.B - 24 – July – 1977**

Experience Summary

Scope International – Standard Chartered Bank (India) Pvt. Ltd – Chennai, INDIA
(From 2007 – till date)

*Associate Manger – <u>**Middle Office Derivative Operations**</u>*

- Responsible for managing Middle office team for timely & accurate trade validations for all derivative transactions (IRD , NDS , NDF , Options , CDS)
- Strong understanding of Derivative products, booking process, valuation models and downstream interaction with confirmation and settlement systems
- Work with middle and back office groups to resolve any portfolio discrepancies and making improvement in daily process
- Manage real-time booking exceptions internally between trading desk and sales force.
- Monitor various trade blotters and inform trading desk for missed bookings.
- Perform TLM check to identify breaks and reconcile the trades pending on daily basis.
- Assist with project initiatives designed to improve and streamline existing processes.
- Support Options / Rates desks in daily reconciliation and populate EOD reports.
- Calculations of Payoff of all Asian Options for US and Brazil and instruct trading to exercise or expire.
- Track alleged novation, identify counterparty amendments, track consent process in ICE and MarkitWire.
- Provide calculations on all settlement breaks raised from back office teams.
- Monitor various controls implemented to mitigate risk to the business.
- Tracking missed trades and act as escalation contact for updating the reason of missed trade.
- Check on Exercise / Expiry trades for Latam desk on daily basis.
- Monitor of SEF trades and escalation to BORM, for no broker confirmation received.
- Participate in Cross Training and ensure knowledge transfer and share the best practices and ideas within peer groups.
- Consistently evaluate and update documented procedures are accurate and current.
- Spearheaded the reduction of manual touches by increasing automations in coordination with technical / product support teams.

*<u>**CLS Netting Settlements**</u>*

- Responsible for settling all FX Deals (Cash, Tom, Spot, Forward, Swap) for all 8 SCB CLS MEMBER LOCATIONS and 5 Third Parties
- Chasing clients for confirmation and workout on mismatch, unmatched, partial match trades, and also performing straight through process
- Timely follow up for reconciliation and escalation of exceptions to square the balances of all CLS Nostro accounts specially held for the purpose of CLS Settlement
- Prepare/verify SWIFT messages used for payment release (MT 202 & MT 300) and check on Credit/debit confirmation on daily basis.

- Ensure all Cash trades & TOM value trades which have impact on Nostro cash management are processed at the earliest to facilitate early cash positing.
- Daily Activities like Cash Flows and open Items in all currencies, and investigate in to them and chasing funds from customer.
- Frequently updating NOSTRO Position and informing Front Officer Trader and ALM Desk in chase of change in NOSTRO position by updating new Transaction
- AS a SPOC for Internal Audit / KCSA - Adhere to the generic and business specific KCS, KCSA and compilation of KRI as envisaged in the Group Operational Risk policy of WB Operations

FX / MM Confirmations-

- Ensuring the swift confirmation generated in the system are matched with incoming swift confirmation from the counter party and resolving the queries of the counter party
- To ensure all FX/MM/ Islamic product deals have captured correct details and settlement instructions, thus enabling error free settlement
- Making phone swaps with counter parties for the trades booked
- Checking text confirmation and confirming the trade
- Sending chasers for the confirmation of the trades to the Counter parties
- Additional SWIFT confirmations if any, in the internal / external queues are verified and appropriate actions taken to regularize
- Incoming e-mail and fax confirmations are monitored and all trades are ensured to have a corresponding confirmation. Any deviation to this is to be followed up and escalated.
- Follow up RMF trades for settlements and inform if any discrepancy to concerned teams , liaise with Credit Risk Management team to remove the deals to GROSS if client unable to settle the same in CLS

Projects –

- Handle projects with close coordination with the Product Management & Technology and other business partners and implement solutions.
- SPOC for OTC DERVIs - TLM FMOCIR Project – on segregation of TLM breaks for Middle Office for all hubs,
  Identify the RCA of the breaks and raise JIRA for BCT teams to fix the issue to increase the STP of TLM reconciliation
- Participated in the testing and implementation of In- House net settling of trades which are done within group (between SCB Locations). Cost saves of 40k to 60k USD per annum.
- Testing of Application upgardation of LCM Logica Manager from version 12 to 13. & version 13 to 16.1 & Version 16.1 to 18.
- Part of MUREX implementation testing for SCB London roll out and for SCB Singapore / Hongkong rollout.
- Involved in Cross Product Netting (CPN) implementation in LCM application. (Netting of FX Options , NDF trades via LCM in CLS)
- Involved in LTFX (Long term FX trades) Compression testing carried out by TRI OPTIMA.
- Part of the team in testing & trialing in the roll out SCB – India as a Settlement Member in CLS, SCB is the only bank in India to be a direct settlement member in CLS.

Debt Management –

- Handled collections for SCB UAE personal loans from Bucket 3 to 5 portfolios.
- Products handled PDC, STL and Business loan
- Ensure business required risk flows
- Maintain MIS in resolution, productivity and dialer status
- Assist Team Leader in Dialer strategy
- Initiate Account blocks and reject markers for delinquent account and NC customers
- Co –ordinate with Dubai front end team on escalations, service issues and Loan disbursals
- Allocation and tracking of field visit accounts

Professional & Technical Skills -

- Experience in handling complex financial process, with statistical and analytical skills by handling ongoing new projects.
- Excellent knowledge of M.S. Office: demonstrated with various process improvements by reducing time, improving quality with Kaizen & FORT project for performing control check.
- Very good at applications like Outlook, LCM, CLS GUI, Murex, Opics, Razor, SC STAR, TLM, , etc
- Quick learner with track record of outstanding performer throughout my professional career

HDFC Bank , Chennai – Officer (July 2006 - Jan 2007)

- Handled Credit card collections for Bucket 2 Chennai region.
- Provide projections to management and track referral accounts.
- Initiate LEIN on accounts which are more than 3 months due.
- Support field officers in cracking delinquent cases
- Maintain monthly MIS

SSS Enterprises (Associate of ABN AMRO) Officer (Jan 2005 - July 2006)

- Handled Credit card collections for Bucket 1 & 2 .
- Refer accounts to field officers for non contact cases.
- Accompany filed executives to trace customers.
- Maintain MIS for the team

DECLARATION

I do hereby declare that the particulars of information and facts stated herein above are true, correct and complete to the best of my knowledge and belief.

Place   : Chennai
Date   :   Roopkumar D