

A M VISHVANATH BALAJI

Scaling new heights of success and leaving a mark of excellence at each step, targeting strategic level assignments in Operations Management, Mutual Funds, Reconciliations, Settlements, Transfer Agency and Risk Management



+91-9841739050



abviswa@gmail.com



Core Competencies

- Operational / Process Excellence
- People Management & Leadership
- Mutual Fund Operations
- Transfer Agency Management
- Settlements
- Reconciliations
- Risk Mitigation & Control
- Workflow and Performance Management
- Client / Stakeholder Management
- SLA/TAT Management
- Service Quality Assurance & Management
- Continuous Process Improvements (CPI)
- Business Continuity Planning (BCP)
- Transition & Transformation
- Cross-functional Coordination
- Trainings & Knowledge Sharing Sessions

Education

- B.E. in Electronics & Communication Engineering** from Madras University in 2001
- Diploma in Electronics & Communication Engineering** from DOTE in 1998.

Soft Skills

- Effective Communicator
- Decision-maker
- Result-oriented
- Planner
- Analytical

Personal Details

Date of Birth: 24th November 1977

Languages Known: English, Tamil

Address: N0 63, VOC Street, VGP Shanti Nagar, Narayanapuram, Pallikaranai Chennai – 600100

Passport Details: M9854091

Profile Summary

- Dedicated Operations professional, offering nearly 14 years** of rich experience in **Operations Management, Transfer Agency Operations, Solution Consultancy** and reflecting **year-on-year success** in achieving business growth objectives and optimizing the entire value chain of business
- Skilled People Manager**, guided large teams, undertook people development function, monitored overall functioning of processes, identified improvement areas and implemented adequate measures to maximize output
- Highly-skilled in accurate **process and supervision/validation of investor's dealing instructions, payments and reconciliation**
- Compliance Management:** Ensured adherence to **SEBI/ AMFI/ Regulatory requirements**
- Successfully **handled and processed transactions related to settlements**, reporting, reconciliation, set up and maintenance of static data and exception resolution
- Appropriately assess risk when business decisions are made**, demonstrating particular consideration for the firm's reputation and safeguarding its clients and assets, by driving compliance with applicable laws, rules and regulations; **highlighting the same to the Risk Committee**
- Track record of contributions in managing **CAMS (Registrar & Transfer Agency for over 18 Mutual Funds)**; gained an in-depth experience in **Banking** sector
- Excellence in spearheading **process improvement projects** based on operational excellence initiatives; defining service delivery standards while ensuring adherence to delivery model and managing the SLAs
- Integration, Migration and Transfer:** Analyzed the business requirements, designed & executed systems/ software, recognized the bugs and fixed the same along with performing **Data Migration and Database Merger**
- Possess a passion for solving complex issues;** using customer service and advocacy skills, accurate & logical problem-solving skills; **capability to manage the workflows in a fast paced, change oriented environment**
- Consistent top performer with skills** in delivering business value; leading, training and monitoring performance of the team members for maintaining excellence in operations

Certification

- Certified NISM-Series-II-B: Registrars to an Issue and Share Transfer Agents - Mutual Fund Certification Examination**

Work Experience

Since Nov'19 with Kfin Technologies Pvt. Ltd.

Since Nov'20 **Manager – Unit In-charge – Motilal Oswal Mutual Fund & NAVI Mutual Fund**

- Spearheading the entire gamut of **RTA Operations for Motilal Oswal Asset Management (Mutual Funds)**
- **Team-based management style:** leading, mentoring and guiding a huge team comprising of **70 members**
- Essaying a key role in supervising **Transaction processing, Reconciliations, CRM, Funding, Audit and MIS Reporting**
- Displaying resourcefulness by **managing queries from AMC / Distributors / Channel Partners and Investor stakeholders** for authorizing confirmation on the Investment decisions
- **Chairing and participating actively in weekly calls with client;** strategizing plans for **process enhancement and excellence**
- **Rendering services as a learning coach;** developing, implementing, & executing performance improvement plans for all individuals to drive continuous improvement and employee retention
- Heading **process improvement projects** based on operational excellence initiatives; defining service delivery standards while ensuring adherence to delivery model and managing the SLA's
- Steering operations including **KPIs, Team Utilization, Capacity Planning, Attrition Rate, RCAs (Root Cause Analysis), Head Count, Forecasting and Training Needs**
- **Mapping business requirements and developing & implementing processes** in line with guidelines; ensuring to remove less logical procedures in processes, thereby reducing processing time; identifying improvement areas and implementing adequate measures to maximize customer satisfaction level
- Processing of **Financial & Non-Financial transactions** through internal systems as per regulatory and client requirement
- **Identify and resolve problems** within the defined procedures
- Complete archiving of **investor and client documentation** ensuring a full audit trail exists for subsequent retrieval

Nov'19-Nov'20 **Deputy Manager – Unit In-charge – Essel Mutual Fund**

- Proven track record in heading the **RTA Operations for Essel Asset Management (Mutual Funds)** along with **leading a team of 15 highly-dedicated professionals**
- Rendered extensive support for **conducting external audit**, every month

Feb'18-Oct'19 with Sundaram BNP Paribas Fund Services as Deputy Manager

Deputy Manager – PAYOUT TA Operations -Sundaram & BNP Mutual Funds

- Efficiently performed **validation of redemption payouts** with individual banks
- Delivered **advisory services for fund control** to SMF & BNP AMC's
- Engaged in updating **BNP Payouts at BNP Bank website**
- Championed efforts towards **instigating the refund of funds to Investors**
- Associated with AMC's for administering **DC Rejection Payouts**
- This role involved **validation of Brokerage payouts & Dividend payouts for BNP AMC**

Deputy Manager – NFT & PAYOUT -TA Operations -Sundaram & BNP Mutual Funds

- **Established and managed a highly-complex and robust control framework** for NFT process
- Functioned as an enterprising professional for **governing Non-Financial Transactions of the Mutual Funds** allotted in line with the pre-set SLA; **involved in quality assurance & control**
- **Solution Consulting & Delivery:** Acknowledged for delivering tailored solutions for email queries; evaluated the case and delivered valuable inputs/ measures for ensuring speedy resolution
- Administered & ensured **timely closure of the workflows** including request received from the Investors & AMC
- Formulated and delivered accurate **Error Analysis Report** along with **other MIS reports** for management review and decision-making process
- Involved in **system testing and ensuring its execution**
- **Process Excellence:** Streamlined/ simplified the existing process through raising change request
- **Change Management:** Proven success in managing changes consistent with regulatory / business needs

Apr'15-Feb'18 with IndusInd Bank Ltd. as Deputy Manager – Business Operations, Wealth Management Operations & New Project Coordination

Domain: Banking (FINACLE & FLEXCUBE)

Projects Managed:

- Performed **De duping of Loan Database and wealth customer database / loan customers**
- Led smooth **migration of Wealth System to Flexcube Private Banking**
- Drove successful introduction of **Online MF Portal for IndusInd Net banking Users**

Role:

- Served as an **In-charge of Channel Transactions at PAN India level**
- Efficiently **governed the Funds Transfer between Pool & Subscription accounts**
- Steered efforts towards administering the **activation of Online accounts for IndusInd customers**
- Worked closely with:
 - **AMC's and RTA's** for processing of MF Transactions
 - **SDG and IT** in order to deploy the changes in line with SEBI guidelines

Jan'05-Apr'15 with Computer Age Management Services Pvt. Ltd.

Aug'09-Apr'15 Assistant Manager - Operations

- **Attention to detail and ability to work on multiple tasks such as:**
 - Online Redemption Payout processing through CITI, HDFC and SCB
 - Online payout processing NEFT, DC& RTGS for Redemptions transactions
- Worked with the:
 - **Bankers** for cancellation & reissue of warrants, cheques, direct credits, DDs & stop payments
 - **Co-Investors, Brokers, Front Offices, Clients and Bank**
 - **Asset Management Company and Investor Service Centers**
- Performed **payout reconciliation** including redemption
- **Confirmed the High Value Payment Requests with the tune of over 10 Lacs+ received from Investors**
- Involved in:
 - Marking & Removal of LIEN
 - Maturity process for close-ended schemes
- Responsible for **posting of transactions**
- **MIS & Reporting:** prepared MIS Reports for Unclaimed Redemption / Return Undelivered Redemption along with other necessary reports for SEBI
- **Key Initiative:** Recognized for undertaking initiatives for System design as per Mutual Fund clients' needs
- Recognized as the **best employee for delivering exceptional performance** by IDFC AMC

Jan'05-Sep'06 Processing Officer

- Involved in processing the redemption of:
 - **Payment instructions to the AMC** for payouts on T+1 basis; formulated funding report bank-wise
 - **Request Received from Investors** in line with SEBI guidelines
- Successful role in:
 - **Generating TDS certificates** for NRI Investors
 - Creating **redemption cheque and undelivered cheques**

Jul'02-Dec'04 with Panimalar Engineering College as Technical Instructor