

Vivek Chandran Kumbrot

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EXECUTIVE PROFILE

- ☐ Reference Data Management
- ☐ Trade processing Group
- ☐ Crest Settlements
- ☐ Capital Markets, Investment Banking, Equities and Fixed Income products
- ☐ Business Analysis
- ☐ Front/Back-office system exposure
- ☐ Project Management
- ☐ Regulatory Reporting
- ☐ Market data analysis

- ☐ **Experienced Senior Analyst professional with 7+ years of Experience** in owning and managing project plans to synchronize deliverables with the development teams and ensure that objectives are in line with the company's overall strategies.
- ☐ **Possess solid knowledge on Capital Markets.** Excellent understanding of the operational processes involved in the settlement of equities & fixed income instruments.
- ☐ **On projects** - Target to securities migration and Robotics.
- ☐ **Experience in implementation**—wide knowledge on various global vendor/applications like Bloomberg, Reuters, Euroclear, clearstream, FTS, Sedol Master File, and DTC.etc.
- ☐ **Knowledge on project life cycle methodology** by working with multiple work streams across several disciplines and geographies.
- ☐ **Resilient hands on project coordination with proven team player capabilities.** Excel in partnering with users for eliciting business requirements and with developers to communicate and translate requirements into technical specifications.
- ☐ **Diversified knowledge on various asset classes and broad coverage on various business functions** of Global Transaction Banking & Markets.

PROFESSIONAL EXPERIENCE

BNY Mellon Business Service Pvt Ltd

Chennai, [Tamil Nadu/India]

[Senior Process Associate], [Investment Banking]



BNY MELLON

[15-10-2012] – [Present]

Experience: 5 years and 2 months

TRADE PROCESSING GROUP & GLOBAL MARKET REFERENCE DATA MANAGEMENT

Trade Processing Group

- Creation/Modification of trades as per instructions received from clients on FAX as well as SWIFT Instructions.
- Manual Trades and Cash Trades (T+0) (T+1) (T+2)
- Handling with Foreign Exchange, Market Brokers, Stamp Duty, Pair off Securities.
- Tools Used - WebSTP, Bloomberg, Euclid (Euroclear Mkt), Clearstream (German Mkt)
- Foreign Exchanges like: Treasury FX, London Treasury Fx, External Fx, Internal Fx.
- Handling Unknown Trades, Out of scope trades,
- As a senior Analyst, I'm handling various Quality Checks and checklist to ensure all trades are processed on timely basis.

Global Reference Data Management

- Creation and Modification of Instrumental Products like Bonds, Equities as from on FAX as well as SWIFT Instructions.
- Warrants/Certificates, Depository Receipts (ADR & GDR) as per client Instructions.
- Handling/referring many vendors like Bloomberg, Reuters, FTS, Sedol Master File, and DTC.etc.
- Preparing test scenarios. Work with the testing team to prepare the testing plan, scope and other relevant documents and reviewing the test cases prepared.
- Define phases of project, aligning different teams, ensure that project adheres to defined timelines, scheduling and chairing project calls etc.
- Interacting with the client for requirement gathering, designing and reporting.
- Coordinating with the stake holders to translate the business requirements into actual project plan.

Role & Responsibilities:

- Responsible for end-to end BAU which includes, task allocation and tracking and SLA management.

- Supervisory checks for the trades processed by team members.
- Managing escalation and top priority trades for processing and submission.
- Performing RCSA, CAP and CASS for the errors committed by the team.
- Monitoring the team to complete the task within cutoff time.
- Responsible for updating SOP documents and its review on periodic basis.
- Monitoring employee's performance and their motivation.
- Settlement part - Ensure the processed trades are pre-matched in the market and settled in market on CSD. If it is not matched then enquire about the fail reason and advise the broker on the failed reason to make necessary action to match and settle the trade.
- Receiving wires and match the wires with the trades which are all instructed by the client and settling the same within the cutoff time.
- Training new joiners includes upstream and downstream of the process and product.
- Conducting meeting with team members to share the recent updates received.
- Preparing daily EOD, Daily, Monthly reports and its reporting.
- Critical staff as part of the Business Continuity Planning.
- Maintained/completed the process based on time and resource considerations.
- Leading the team/process in the absence of Team Leader and delivered Zero Financial loss.
- Validating and processing of Internal Transfer (Transfer within Accounts)
- Follow Up with the contra firm regarding the transfer status.
- Sending Notification Mails to Clients regarding transfer status.
- Follow up with the client to resolve the issue work items and processing the request.
- Need to Maintain minimum of 100% Productivity and 90 % Quality.

Reporting:

- Presenting Volume report to the senior leadership team
- Maintaining / regularly updating SOPs, SLAs & Scope Documents for the processes.
- Handling utilization of the team members and their productivity.

Achievements:

- Awarded above Expectation in all the annual appraisals.
- Employee of the quarter in Q2 of 2014
- Received appreciations from the client for effective escalation handling.
- Part of pilot batch in setting up the BNY Mellon unit in Chennai
- I have given few quality ideas which will save process time.

RBS Business Securities Pvt Ltd, Chennai[15-08-2010] – [10-10-2012]
[Operational Analyst], [Investment Banking]

Market Reference Data Management

Instrument Setup	<input type="checkbox"/> Overview -The process involves Creation and Modification of Instrumental Products like Bonds, Equities with referred many vendors like Bloomberg, Reuters, FTS, Sedol Master File, and DTC.etc.
Business Analysis	<input type="checkbox"/> Responsible to identify and understand business requirements and initiate changes in the application for improvement. <input type="checkbox"/> Based on the availability of budgets and priority accept CRs for analysis on Market data provider's flow (Bloomberg, Reuters, FTS, Sedol Master File, and DTC.etc.)
Daily Reports	<input type="checkbox"/> Performing CACT (Corporate Actions) on Daily Basis.CACT Includes: <input type="checkbox"/> ISIN/SEDOL change <input type="checkbox"/> Name Change <input type="checkbox"/> Mergers/Acquisitions <input type="checkbox"/> Listing/Delisting of securities <input type="checkbox"/> Responsible for updating SOP documents and its review on periodic basis <input type="checkbox"/> Ensuring all critical/platinum clients work done on time and give 100% delivery to the client. <input type="checkbox"/> Fix the issue before the TAT and support the business.
Business Support	

ACADEMIC BACKGROUND

Master of Business Administration (Finance)- Perusing
 Anna University – Chennai, Tamilnadu,India

Bachelor of Commerce and Computer Science- 2010
 University of Bharathiyar – Coimbatore,Tamilnadu,India

PERSONAL DETAILS

Date of Birth	28-07-1988
Gender	Male
Marital Status	Unmarried

LANGUAGES

English	Advanced Professional
Hindi	Advanced Professional
Malayalam	Native Speaker
Tamil	General Professional

DECLARATION

I hereby declare that the facts given above are true to the best of my knowledge.

Place : Chennai, India
Kumbrot

Vivek Chandran