

Riddhi Gandhi

Internal Audit Manager

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Education

Chartered Accountant - 2015

Institute of Chartered Accountant of India (ICAI), Mumbai

Bachelor of Commerce - 2012

H.R College of Commerce & Economics, Mumbai

Employment

Manager

Jun 2018 - Present

Ernst & Young LLP, Mumbai

- Manager in the Financial Services Business Consulting team with over 8 years' experience working with clients across Banking, Capital Markets and other financial institutions.
- Successfully managed a team of 10+ people across various clients to meet and achieve business goals within a defined timeline.
- Initiatives for identifying new leads along with developing strategies to retain existing clients.
- Management of all aspects of client relationships, from generating leads to invoicing
- Provided consulting services to one of the leading banks in Myanmar in setting up their internal audit department by preparing IA manuals, policies, charter, audit templates and preparation of risk assessment framework for audit planning along with providing trainings to the bank employees for performing internal audit based on the revised guidelines.
- Reviewed operational and compliance risk framework for a leading NBFC by performing risk assessment, reviewing and updating existing risk registers, developing key risk register (KRI) repository and developing mechanism for periodic review and update of KRIs.
- Led a team in performing audits of CCAR RWA and capital projection process, data governance and data integrity of source system, firmwide regulatory capital governance framework and credit risk weighted assets reported in regulatory financial reports for an American multinational investment bank and financial services company.
- Provided consulting services to one of the public sector banks in reviewing existing regulatory guidelines and IDRB framework with respect to Digital Banking and Banks compliance to these guidelines, suggesting applicable changes to the processes & infrastructure of the Bank for compliance and charting Roadmap for compliance to regulatory guidelines on an ongoing basis.

Personal details

Date of birth

November 5, 1991

Gender

Female

LinkedIn

linkedin.com/in/riddhi-gandhi-4b754540

Skills

Excellent Communication Skills

Multitasking Skills

Team Leadership

Time Management Skills

Risk based Internal Audit, Risk assessment and IA transformation

Operational and Compliance risk reviews

Languages

English

Hindi

- Worked with a UK-based Nigerian Bank supporting the internal audit team in review of the controls within the Markets business and the second line of defense oversight and monitoring controls. The products in scope for this review were Eurobonds, Non-Deliverable Forwards (NDFs) and Nigerian Carry Trades.
- Handled Risk based Internal Audit, Compliance Review, Process Risk Reviews & Improvements, Risk Management, PMLA Review, SEBI Insider Trading Regulations etc. for some of the TOP Investment Banking Firms.
- Provided consulting services in performing the Internal Control over Financial Reporting (ICFR) for leading bank in India which included defining the scope coverage and methodology, risk identification and test of design, Entity level control (ELC) assessment and Testing for operating effectiveness of controls.
- Led a team to conduct Internal Audit for Clearing & Settlement, Listing, Membership and market operation processes by adhering towards various Acts/ Regulations and Standard Operating Procedure of the concerned Department/s along with Depository audit for a leading stock exchange.

Assistant Manager

Aug 2015 – Jun 2018

Aneja Associates, Mumbai

- Conducted internal control reviews, process audits, and process diagnosis.
- Conducted operations audits for insurance broking, non-banking financial companies (NBFCs), investment banking, and portfolio management services (PMS) clients.
- Conducted process reviews of certain support functions, such as human resources (HR)–payroll, administration, finance, and accounts, including entity-level controls.
- IFC (Internal Financial Control) reviews of top insurance broking companies to verify the accuracy and effectiveness of broking operations.
- Provided assistance in the drafting and creation of policies and standard operating procedures (SOPs).

Executive

Feb 2011 – Aug 2015

Sudit K Parekh & Co. (Chartered Accountants), Mumbai

- Provided assistance in preparing financial statements in the revised Schedule VI format, audit reports, and letters of representation.
- Analyzed draft financial statements, including notes to accounts. Handled and was involved in tax audits of private limited companies from preliminary verification to audit finalization.
- Handled statutory audits of manufacturing and service sector industries, including banks, from preliminary verification to audit finalization.

Gujarati

French

Profile

- Results-driven manager with a passion for management and a proven track record of success.
- Increased business by 15% in my last role.
- Identified and closed 5 new accounts in the past year.
- Developed and implemented a retention strategy that resulted

in a 10% increase in client retention.

- Collaborated effectively with team members to achieve goals.
- Strong leader with a proven ability to motivate and inspire others.