

## Prateek Mohan

C-90, Sector-33, Noida – 201301

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- **Summary**

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Over 18 years of experience in business development and operations with strong leadership skills and the ability to work with large teams and diverse groups to achieve company's objectives. Further, have worked to ensure development of associates. An independent, self-motivated person who has a proven record of making significant contribution to the company's profits.

### Skills

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- Sales Management
- Project Management
- Process Management
- Analytical Skills
- Strategy Development
- Client Servicing
- Leadership and Team Management
- Product Review
- Interpersonal Skills
- Problem Solving
- Result Oriented
- Adaptable to VUCA

### Work Experience

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#### SMC Global Securities Ltd

Associate Vice- President (Exchange compliance), compliance officer (Research Analysis)

December 2023 – till date

- Responsible for compliance for Research and Analysis (RA) and Money Laundering (PMLA)

#### Central Depository Services (India) Limited

Assistant Vice President – Head North India

November 2010 – May 2023

- Head North India for promotion and sales of various products and services of Central Depository Services (I) Ltd. (CDSL) and its subsidiaries.
- Analysis of the net worth, market value and enterprise value of the main NSE, BSE brokers, Insurance Brokers and Mutual Fund Distributors
- Covering the M&A activities for the foreign institutional investors as per the requirements of the regulatory body and supporting in the legal and operational compliance
- Liaison with Ministries and Regulators like Securities and Exchange Board of India (SEBI).
- Promotion of CDSL in corporate for listing on CDSL
- Analyzing and targeting potential companies to become CDSL participants and handholding them.
- Assisting top most Indian companies in smooth operations of their AGM/EGM/ Postal Ballot and successful result declaration in close coordination with practicing Company Secretary, Chartered Accountants and various scrutinizers
- Audit and Inspection of the financial position, as well as, check regulatory compliance of Depository Participants in Northern Region.
- Handle Investor Grievances related to Depository Services
- Successfully obtained STQC level II- Certification from Ministry of Information and technology for CDSL's electronic voting platform consecutively for three years in a row
- Responsible for managing and preparation of sales proposals (RFPs), Government Proposals.
- Assisted in development of National Level Projects for Central and State Government.

- Providing technical and operational support to Depository Participants and Approved Persons
- Projects Implemented:
  - **E-Voting** – Assisted in development and certification of electronic voting platform from Standardization Testing and Quality Certification (STQC) Directorate, Government of India.
  - **Authentication Service Agency (ASA)** – Empanelled CDSL as an ASA with Aadhaar.
- **Authentication User Agency (AUA)** – Empanelled CVL as an AUA with Aadhaar.
- Organized and Collaborated Investor Awareness Seminars with SEBI, Exchanges and Universities

### **Indiabulls Securities Limited**

#### **Senior Manager – Head Depository Operations**

**March 2006 – October 2010**

- Monitoring and handling Depository Operations & Compliance which include looking after the legal and compliance related issues with the various regulatory and statutory bodies like Securities Exchange Board of India, National Stock Exchange of India, Bombay Stock Exchange, National Securities Depository Limited, Central Depository Services Limited, Multi Commodity Exchange of India Limited, National Commodity & Derivative Exchange Limited.
- Audit - NSDL, CDSL, SEBI Internal & Concurrent Audit
- Internal audit of branches ensuring 100 % compliance related to various regulatory requirements
- Various operations related to depository like Account Opening, Demat, Pledge, Settlement
- Providing technical and operational support to back office connected branches
- Conducting regular training programs concerning to risk and compliance for ensuring efficiency

### **Central Depository Services (India) Limited**

#### **Deputy Manager**

**November 2003 – February 2006**

- Analysis of the net worth, market value and enterprise value of the main NSE and BSE brokers
- Responsible for marketing CDSL's depository services in North India among Corporates, Brokers, Depository Participants and Investors. Relationship Manager for the Depository Participants and Brokers in the Northern Region.
- Audit and Inspection of the financial position, as well as, check the regulatory compliance of the Depository Participants in the Northern Region.
- Provide technical and operational support to Depository Participants.

### **Education**

Master's degree in business administration (M.B.A) with specialization in finance from B.V.I.M.R, New Delhi, University of Pune in the year 2003

B.Com from Nagpur University in the year 2001

### **Certification**

STQC Level II- Certification from Ministry of Information and Technology

### **Computer Knowledge**

Completed Course from SSI Languages: C, C++ Web Designing: HTML, VB

Operating System: LINUX and UNIX EXTRA

### **Curricular Activities**

Organized a national level seminar on industry-institute interface and case writing competition.

Was part of the finance club of the student's society in graduation

Represented (School): - Badminton (Inter State), Swimming (Inter School)