

ROHAN MANKOTIA

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KNOW YOUR CUSTOMER | TRANSACTION MONITORING | ANTI-MONEY LAUNDERING

CAREER SUMMARY

Professional Synopsis: A diligent, professional with over 2 years of progressive experience in gathering, modeling, and utilizing key data for diverse projects in investment banking, resulting in informed decision-making and optimized financial outcomes. Quickly adapted to and mastered new programs, enhancing technological efficiency and effectiveness in project execution. Excelled as an administrator, leader, and project manager, driving successful project completion and achieving desired financial goals. Leveraged strong analytical skills to develop and implement financial models and risk management strategies, leading to improved financial performance and reduced risk exposure. Provided impactful financial consultations and solutions for businesses of all sizes, resulting in increased profitability and financial stability. Developed innovative strategies and processes to optimize financial operations, resulting in cost savings and improved efficiency.

Added Expertise:

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|-------------------------|-------------------------------|-----------------------------|
| - Financial Planning | - AML (Anti Money Laundering) | - Evaluation and Assessment |
| - Operational Reporting | - Industry Analysis | - Fund Accounting |
| - Data Analysis | - GAAP/Statutory Reporting | - Risk Management |
| - Forecasting trends | - Hedge Fund Corporate action | - Interpersonal Skills |
| - Variance analysis | - Forex Market | - Communication skills |
| - Financial Reporting | - Fraud Investigation | - Problem Solving |
| - Custodian | - Audit Management | - Team Player |

EDUCATION & PROFESSIONAL QUALIFICATIONS

- **Imarticus Learning**, Certified Investment Banking Operations Professional, Delhi, India, 2022
 - **Modules Covered:** Securities and Derivatives, End-to-end Trade life cycle of Listed and OTC products, Functioning of Clearing and Settlement systems, AML/KYC, Asset Management, and Risk Management.
- **BBA**, GIBS College, Guru Gobind Singh Indraprastha University, Delhi, India, 2020

PROFESSIONAL SNAPSHOT

- Proficient in utilizing analytical aptitude in Customer Due Diligence and Enhanced Due Diligence processes to identify patterns and trends, effectively communicating risks to management.
- Capable of successfully managing multiple competing priorities and deadlines. Conducted thorough reviews of high-risk accounts, ensuring comprehensive risk assessment.
- Identified sources of wealth to enhance understanding of clients' financial backgrounds. Led extensive negative news searches and determined PEP status to uncover potential risks.
- Proficiency in understanding Enhanced Due Diligence and effectively applied Risk Rating Methodology for screening.
- Utilized Risk Ranking techniques to accurately assess and prioritize risk levels for enhanced risk management.
- Utilized the latest technology for tireless research, enabling informed decision-making and strategic guidance for clients toward financially sound directions.
- Outstanding interpersonal, relationship, and team-building skills; resourceful in the completion of projects and effective at multitasking with a strong ability to plan, prioritize, and deliver.

PROFESSIONAL EXPERIENCE

WNS Global Services | Associate (Since Jun 2022)

- Enhanced detection and mitigation of illicit financial activities by conducting complex case investigations, alerts clearing, and filing Suspicious Activity Reports.
- Ensured thorough documentation and compliance with regulatory requirements by completing alerts narratives in the FCRM case management system.
- Facilitated effective collaboration with law enforcement and regulatory authorities by supporting 314(b) requests to compile evidence regarding potential illicit activity.
- Enhanced due diligence processes and adherence to the bank's policies and procedures by utilizing workplace tools such as LexisNexis, World-Check, and Bridger for AML screening and reviews.
- Contributed to effective risk management strategies by evaluating clients' AML KYC risk, conducting independent research, verifying appropriate risk profiles, and making independent risk assessment recommendations.
- Provided valuable insights for informed decision-making and compliance purposes by preparing due diligence commentary demonstrating a complete analysis and assessment of the client's transaction activities.
- Playing a pivotal role in making final judgments on escalated cases as a key member of the FIU Team, resulting in streamlined decision-making processes and improved risk management.
- Successfully examining instances involving Revolut clients across various jurisdictions, leading to enhanced collaboration with destination authorities such as FinCen, GNECB, FNTT, and NCA.
- Identifying and escalating prospective SARS on alleged transactions and activities, ensuring comprehensive scrutiny of suspicious behavior and proactive risk mitigation.
- Reviewing previously issued SAR/SARS reports to identify persistently unusual conduct, contributing to ongoing efforts in enhancing risk mitigation measures.
- Contributing to the Tax authority's seizures of the French Tax Authority (SATD) as part of the External Enquiries Team, facilitating the efficient resolution of financial inquiries and regulatory compliance.
- Conducting thorough examinations of UARs escalated by multiple teams, resulting in prompt actions such as rejection, onboarding, or reporting, and fostering a culture of compliance and accountability.
- Handling escalated situations from law enforcement and external banks, demonstrating proactive risk management practices, and ensuring regulatory compliance.
- Analyzing financial intelligence, STRs, and SARs, generating activity patterns, and identifying future behavior to support ongoing investigative efforts and risk assessment.
- Collaborating effectively with local and foreign financial and law enforcement authorities to collect intelligence and information for analytical purposes, fostering strong partnerships and information-sharing networks.
- Utilizing specific analytical software to extract, interpret, and analyze intelligence and information, contributing to actionable insights and improved decision-making processes.
- Playing a key role in the analysis intelligence cycle by planning, receiving, interpreting, evaluating, and integrating information to produce analytical intelligence reports, enabling informed decision-making and strategic planning.
- Preparing analytical documentation such as crime maps, association charts, suspect profiles, and linkage analysis, providing valuable insights for comprehensive risk assessment and investigative efforts.
- Providing recommendations on whether cases warrant further investigation to determine the commitment of money laundering and financing of terrorist activities, ensuring proactive risk mitigation and regulatory compliance.
- Establishing a system for risk-based internal audit and establishing robust risk reporting metrics for management and corporate governance involving external risk reporting to stakeholders.

PERSONAL DETAILS

Date of Birth: Please Provide | **Nationality:** Indian | **Languages:** English, and Hindi