

GURU PRASAD MAHALINGAM

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Career Objective:

Compliance specialist with more than 5 years of International exposure in Banking which comprises of Fraud detection, Anti Money Laundering, Customer Due Diligence and Sanction Screening expertise with effective team handling and implementing AML Compliance programs that align with the objectives of the regulators.

Key skills:

- **AML – Compliance / Transaction Monitoring and Sanction Screening(Risk Monitoring)**
- **Products:** Norkom, LexisNexis, eOps, World Check, FileNet, BOWB, CERS, Accuity, FircoSoft, MCH(Putty), CITI online.
- Fluent in MS office, MS Excel.
- Knowledge of AML (Investigation, Monitoring and Detection Scenarios)
- Knowledge of KYCC Transaction Monitoring (EAR, EDD, PEP, Remediation)
- Knowledge of Sanction Screening and Disambiguation (INWARD,OUTWARD,IN-OUT)

Relevant Professional Experiences:

CITI BANK INDIA PVT LTD:

Duration: May 2019 to Till now

Designation – Senior Analyst

Roles and Responsibilities:

Analyzing and Screening of suspicious activities of transactions triggered in **CBOL** for money laundering activities and identifying issues and ensure timeous reporting of suspicious transactions for Individuals and Entities.

- AML Sanction screening to Identify, escalate and/or report any unusual or potentially suspicious transaction activity in accordance with RBI and corporate policy and guidelines.
- Involved in prioritising the transactions severity and allocating the cases to team members according to their knowledge hierarchy.
- Ensured every business day transactions were classified as normal or suspicious transactions through investigation.

- Responsible for mandatory filing Currency Transactions Report (CTR) and Suspicious Transactions Report (STR).
- Implemented the Referral Desk for the Anti Money Laundering Team in order to improve the efficiency of the review.
- Deftly handled the Screening documentation for clients and business in the **INDIAN** region, experienced in liaising with clients directly and business contact on a global basis.
- Analyze and review transactions on a case by case basis, and resolve or escalate as needed.
- Screening all the **NEFT,RTGS** OUTWARD transactions using application **CBOL** to Identifying whether the customer is in SDN (Specially Designated Nationals),OFAC and World Check List by performing appropriate level checks through different applications like PUTTY and Accuity.

Achievements:

- Maintained zero error which resulted in no financial loss to the bank.
- Were moved to Checker Level(Validator) after only 2 month in the process.

SOCIETE GENERAL GLOBAL SOLUTION:

Duration: May 2018 to May 2019

Designation – Sanction Analyst

Roles and Responsibilities:

Analyzing and Screening of suspicious activities of transactions triggered in **FircoSoft** for money laundering activities and identifying issues and ensure timeous reporting of suspicious transactions.

- AML Sanction screening to Identify, escalate and/or report any unusual or potentially suspicious transaction activity in accordance with corporate policy and guidelines.
- Deftly handled the Screening documentation for clients and business in the PARIS region, experienced in liaising with clients directly and business contact on a global basis.
- Analyze and review transactions on a case by case basis, and resolve or escalate as needed.
- Screening all the **EBA,COBALT and SEPA** IN&OUT WARD transactions using application **FircoSoft** to Identifying whether the customer is in SDN (Specially Designated Nationals),OFAC and World Check List by performing appropriate level checks.

Mail Box – PARIS & ASIA– Communicating with front office / middle office regarding the transactions related queries received from team. Supporting team with referral activities by preparing various queries and reports in accordance with **RBFS** and Regulators. Handled allocation of work and helped team in clearing the daily BAU and actively participated in UAT / UVT testing.

Achievements:

- Maintained zero error which resulted in no financial loss to the bank.
- Recognized as Bubblebee of hub for Consecutive 150+% productivity and good quality.
- Were moved to Checker Level(Validator) after only 2 month in the process.

STATE STREET CORPORATION:

Duration: January 2017 to May 2018

Designation – Specialist Associate

Roles and Responsibilities:

- AML Sanction screening to Identify, escalate and/or report any unusual or potentially suspicious transaction activity in accordance with corporate policy and guidelines.
- Deftly handled the Screening documentation for clients and business in the APAC region, experienced in liaising with clients directly and business contact on a global basis.
- Analyze and review transactions on a case by case basis, and resolve or escalate as needed
- Identify, escalate and/or report any unusual or potentially suspicious transaction activity in accordance with corporate policy and guidelines.
- Screening all the transactions (Like **INWARD,OUTWARD,IN-OUT**) using application FircoSoft to Identifying whether the customer is in SDN (Specially Designated Nationals) by performing appropriate level checks through different applications like World Compliance and Accuity.

Achievements:

- Maintained zero error which resulted in no financial loss to the bank.
- Were moved to Level 2(Escalator) after only 1 month in the process.

STANDARD CHARTERED GLOBAL BUSINESS SERVICES:

Duration: May 2014 to January 2017

Designation – Analyst

Roles and Responsibilities:

Analyzing and monitoring of suspicious activities of transactions triggered in Norkom for money laundering activities and identifying red flag issues and ensure timeous reporting of suspicious transactions. Also, handling key responsibilities like monitoring of wire transfers of KYC and KYCC customers, check collections, Referrals, System testing (BA in eOps implementation), Training new recruiters and Advisor of team in investigation and reports. Also, supporting the Manager and senior management in preparing daily, weekly, biweekly, monthly reports, load balancing and handling team. Analyzing trends and patterns using reports MIS and providing projections of movement and usage of staffs efficiently.

Process handled:

- **TTM Process (Transactions Typology Model)** – Investigate and assess risk events for potential money laundering risks. Preparing FCSU US Report and handling the team by allocating the work, performing second level check and analyzing the daily movement of risk events to ensure the alerts are completed within CAD.
- **FCSU Initiatives (backlog clearance project)** – Lead of US Referrals Team and supported the UK team in clearing backlog. Streamlined UK and Germany country Referral process and implemented various ideas, tools to clear backlog and ensured the Team clears backlog and moved to BAU.
- **Referrals – US & Singapore** – Communicating with front office / middle office regarding the transactions related queries received from team. Supporting team with referral activities by preparing various MIS and reports in accordance with US FCC and Regulators. SPOC for Singapore Referrals. Handled allocation of work and helped team in clearing the daily BAU. Worked as BA of **eOps** (tool for referrals) and actively participated in UAT / UVT testing.
- **Transaction monitoring (KYC / KYCC)** – Assessing the alert / cases triggered on breach of detection scenario and took prompt decision based on the review. Assisted in identifying systemic procedural weaknesses and additional training requirements for improvement of process, quality of work performed.

Achievements:

- Maintained zero error which resulted in no financial loss to the bank.
- Successfully trained TCS staffs during the period from December 2014 to December 2015.
- Recognized as Champion of hub for Consecutive quarters.

Education:

Sri Krishna Arts and Science College, Coimbatore, India
Bachelor of Science (Computer Technology) in the year of 2014