

DHARAMINDER T SISODIYA

PROFESSIONAL SUMMARY

Over 13 years of rich, experience in the Invest Banking and Financial Services industries; production support, rollout & enhancement from business analysis, testing, go-live aid till post implementation support. Successfully managed high-profile regulatory and compliance projects globally. Experienced working at Office of Supervisory Jurisdiction (OSJ) responsibilities like maker, checker & approver of new trading & mortgage accounts.

Excellence in designing solutions for wide range of trading scenarios like Trade surveillance, Market abuse & manipulation. Ability in working across global markets/market regulations.

PROFESSIONAL EXPERIENCE

1) BNY Mellon | Pershing - Lead Representative (Margin\Firm Trading\Trade Surveillance) - Apr 2018 - Ongoing

- Optimize collateral value through monitoring and re-hypothecation of securities/bonds, thereby reducing the cost of collateral for the bank.
- Daily monitoring of all margin calls. Analyze margin calculations for accuracy to ensure accounts are correctly margin as per rule **15 C-3**.
- Sending IFA and approvals for 90 days restrictions (free ride) for disclosed margin accounts.
- Working knowledge of Margin and Securities, **FINRA 4210, Reg. T**, Reorganizations/Tender offers, Collateralized Loans, Transfers, and IRAs.
- Review and analysis of **Trade surveillance** reports/alerts and signoff alert completion related to employee and client trading activities
- Responsible for identifying and investigating exceptions. Report significant deviations/exception to Credit committee and Pershing Executive Committee and the Chief Compliance Officer.
- Maintenance of watchlist and restricted list. Performing employee and Firm trade surveillance against the various watch and restricted list.
- Worked closely with the legal and compliance team.

2) BNY Mellon | Pershing - Sr Intermediate Representative (Payments Exception Processing) Apr 2014 to Apr 2018

- Responsible to manage a team of four members across various functions supporting the Payments Exception processing group.
- Review and approve **Journals** between Pershing accounts; fed fund wires, check disbursements and **ACH**.
- Create and keep functional documentation/specification which includes SOP, PP, WSP, FMEA, SIPOC, and process lifecycles.
- Support the BCP team and work with management in LOB to coordinate business continuity governance activities.
- Support FINRA and internal audit activities.

CONTACT:

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CERTIFICATIONS

- Learn six sigma yellow belt certification by BNY Mellon.
- Certification of Effort from Global Cancer Concern India for fund raising.
- Certification of Merit from ING Vysya Life Insurance Co. for achieving Target earlier.

SKILLS

- Excel, PowerPoint
- Sincere, Diligent & Dedicated.
- Good Communication Skills.
- Managing Work Under Pressure.

AWARDS & ACHIEVEMENTS

- "Rookie Award" for Best Performer.
- "Take A Bow" by BNY Mellon.
- Extra Mile Award by BNY Mellon
- Four "Thank you note" award by BNY Mellon
- Two "You are the star" award from Pershing LLC

EDUCATIONAL QUALIFICATION

Bachelor's Degree in Commerce
Agurchand Manmull Jain College
University of Madras, Chennai
Full time (2006-2009)

3) BNY Mellon | Pershing - Process Associate II

(OSJ Activity/Corporate Executive Services) - April 2011 to April 2014

- Issuing Registered Representatives # for IBD's after verification (RR#)
- Maker of Trading Account Opening (initiation level)
- Maintenance of Existing Trading Accounts (change in Address, Beneficiary, Registration)
- Checker, Maker & Approver of all the Asset Movements processed (Standing & Periodic Instructions)
- ACAT's - Account Transfers (Incoming & Internal)
- Creating Entitlements for our IBD's & Clients (creating user ID's of brokerage accounts)
- Verifying Daily Wires, Journals, Checks & Tax Withholding Transactions (Document Controls)
- Reconciling the daily activities on Collateral & Non-Purpose Loan programs accounts, part of Corporate Executive Services.

4) Tata Consultancy Services - Processor Associate

(VOE/Mortgage Foreclosure) - June 2009 - April 2011

- Assessing the client's property for his avail Mortgage - Appraisal Data Input (ADI)
- Verifying client's Employment Details in case of any past defaults (VOE)
- Providing diverse options to clients with support of Loss Mitigation & Litigation department.
- Preparation of Pre-Foreclosure notices to client's & completing the Foreclosure process (Foreclosure)
- Loss mitigation & Litigation departments verify his status and give him suitable plan to clear his mortgage against property.
- Aiding client's attorney of Law Firm in US dealing with foreclosure by providing the required figures and documents.
- Providing attorneys with the documents such as the Mortgage documents, Note, Assignment, Breach Letter and Judgment Figures
- Handling FHA, FNMA, and Judicial type of accounts.

PROFESSIONAL SUCCESS

- On a single day opened 75 Trading accounts with 100% quality.
- Named as "Perfect" player by team whenever there is short staffing.
- Expert in writing emails to the clients- Cleared Email Etiquettes test.
- Received an award for Best Performance within 6 months of joining Pershing India.
- Managed Team work accurately within agreed timelines by following proper procedures.
- Implemented 7 ideas in which 4 were system based and 3 on handling the daily requests which diminish few steps in Account Opening & Asset Movement process.

PERSONAL DETAILS

- **Date Of Birth:** 18th July
- **Gender:** Male
- **Nationality:** Indian
- **Marital Status:** Married
- **Languages Known:**
 - ✓ English (Read, Write & Speak)
 - ✓ Hindi (Read, Write & Speak)
 - ✓ Tamil (Read, Write & Speak)