

Abhishek Upadhyay

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CORPORATE PROFESSIONAL

EXPERTISE

Client Servicing / Audit
Documentation
Administration / Control
Internal Audit
Back Office / Process
MIS Preparation
Information
Coordination
Strong Interpersonal Skills
Communication Skills

PROFILE SUMMARY

- ◆ Sincere and diligent professional with an experience of 15+ Years across Audit Management, Operations Audit, Back Office / Process Documentation, MIS Reports Preparations, Administrative Work, KYC maintenance & Follow-up and Compliance Maintenance.
- ◆ Was working as Assistant Manager with **CHOICE INSURANCE BROKING INDIA PVT. LTD**
- ◆ Was working as Manager with **R.R. SEN & BROS. PVT. LTD & COX & KINGS FINANCIAL SERVICE LTD** handling Foreign Exchange - Internal Audit, Compliance, Documentation, KYC Handling, Remittance & Forex Cards processing, and Group Sales Handling.
- ◆ Proficient in ensuring adherence to procedures and policies of the Industry and streamlining various operations.
- ◆ Focused and hard working with proven capability in discovering critical points in complex litigation and ability to easily grasp complex situations
- ◆ Industrious professional, thrive on a challenge while working effectively with all levels of management and ability to interact with people in a professional manner
- ◆ Systematic & organized professional with quick adaptability to changing trends & processes and exceptional interpersonal and presentation skills
- ◆ Comprehensive problem detection/ solving abilities & good analytical mind thus being able to comprehend data easily

PROFESSIONAL EXPERIENCE

CHOICE INSURANCE BROKING INDIA PVT. LTD. (FROM FEBRUARY 08, 2021 TO MAY 31, 2021)

Assistant Manager (Insurance Division)

- ◆ Handling Integration of different Insurance companies in our Companies Portal - ISMOS
- ◆ Responsible for updating the payment / receipt tracker of PAN India MIS reports for banks, retail sales monthly which are submitted to Manager

R.R. SEN & BROS. PVT. LTD (FROM 28 NOV, 2019 TO 31 MAR, 2020)

Team Leader (Foreign Exchange - Internal Audit, Compliance, Documentation, KYC Handling, Sales)

- ◆ Maintain proper documentation of the records of transactions which involve new transaction, editing transaction, etc. as per RBI standards
- ◆ Ensure regular follow-up of KYC documents verification, closure of reports and strictly adhere to the policies and procedures of the organisation.
- ◆ Processing the Telegraphic Transfer (TT - Remittances - Transferring Money to Foreign Account), Loading & Reloading of Multi-Currency Cards, Travel Insurance, Currencies, Group Sale Handling
- ◆ Sales of Foreign Exchange, Travel Insurance, Travel Cards, Travellers Cheques

COX & KINGS FINANCIAL SERVICE LTD (GROUP COMPANY OF COX & KINGS LTD) (FROM FEB 2013 TO OCT 2019)

Team Leader (Foreign Exchange - Internal Audit, Compliance, Documentation, KYC Handling, Sales)

- ◆ Managing audit engagements which involve planning and execution in accordance to the audit standards
- ◆ Execute the head office audit and ensure completion of the audit process in a timely manner with the coordination of team members and outsourced auditors

- ◆ Maintain proper documentation of the records of transactions which involve new transaction, editing transaction, etc. as per RBI standards
- ◆ Entrust with the duty or responsibility of implementing auditing strategies, resulting in a significant increase in the percentage of accuracy in the financial transactions
- ◆ Responsible for updating the monthly audit tracker, payment tracker and preparation of PAN India MIS reports for banks, corporate sales and monthly audit reports, Fully Fledged Ledger Memorandum Reports which are submitted to RBI
- ◆ Conducting training sessions and issuing license to the Branches, Franchisee and Restricted Money Changer (RMC).
- ◆ Ensure regular follow-up of KYC documents verification, closure of reports and strictly adhere to the policies and procedures of the organisation.
- ◆ Responsible for preparation of the process manual for the guidance of the new joiners in the organisation.
- ◆ Processing the Telegraphic Transfer (TT - Remittances - Transferring Money to Foreign Account), Loading & Reloading of Multi-Currency Cards, Travel Insurance, Currencies, Group Sale Handling
- ◆ Sales of Foreign Exchange, Travel Insurance, Travel Cards, Travellers Cheques

ICICI LOMBARD GIC LIMITED

AUG 2010 - FEB 2013

Audit Manager

- ◆ Conducted branch audits and prepared reports which include payment tracker, report distribution tracker, yearly audit tracker, etc.
- ◆ Implemented and adhered the 5S methodology which involve Sorting Out, Systematic Arrangement, Spic & Span, Standardize and Self-Discipline
- ◆ Prepared the audit scope, risk assessment template, reviewed the draft audit observations and discussed the observations with the co-auditors & release of the finalized report
- ◆ Judiciously reviewed internal control procedures for operational systems, identify weakness and recommend improvement
- ◆ Reviewed existing systems & procedures and designed internal controls/quality audit checks for various operational areas for achieving higher operational efficiency, resource rationalization and cost reduction
- ◆ Prepared Reports for the Management, detailing issues that arose from the audit and provided possible solutions

HORWATH CONSULTANTS INDIA PVT. LTD.

DEC 2004 - AUG 2010

Accounts & Audit Assistant

- ◆ Accountable for processing sales and purchase invoices of motor vehicles and actively involved in reviewing the bills, accuracy of rates, proper authorization of billing and cross tally the same with other records
- ◆ Prepared financial reports and monthly statements throughout the year for US clients
- ◆ Skilfully analysed the variances and discussed the overall performance of the business through benchmarking
- ◆ Ensured proper documentation and record maintenance of the financial statements and involved in proofreading of the financial statements prepared by the team members
- ◆ Conducted audit for vouching of expenses, fixed assets, employee payments and cash flow, etc.
- ◆ Prepared and reviewed the bank reconciliation statements in a periodic manner to maintain the quality standards with 100% accuracy
- ◆ Assisted juniors / senior team members in conducting audit work and involved in structuring and implementing innovative audit techniques to ensure smooth flow of the audit process
- ◆ **Achievement** - Promoted from data entry operator to proof reader and then as auditor to assist in statutory and internal audits

INTEGRA UNISOURCE PVT. LTD., Accounts Assistant, Mar 2004 - Dec 2004

TRAININGS

ICICI Lombard GIC Limited

Attended training on “How to become an Entrepreneur”, “How to become a Team Leader” and Inter-personal skills

Cox & Kings Private Limited

Attended training on Mass-Communication Skills

EDUCATION / CERTIFICATIONS

- ♦ **MBA - Insurance, Investment & Banking**, Welingkar Institute, Mumbai, Sept 2012
- ♦ **Diploma in Financial Management (DFM)**, Welingkar Institute, Mumbai, Feb 2011
- ♦ **Bachelor of Commerce**, Mumbai University, Apr 2004
- ♦ **Diploma in Computers**, Infotech Computer Institute, Mumbai, Mar 2001

Languages known: English, Hindi and Marathi;

References: Available on request