

# Raghavendra Shetty

## Compliance Associate

(9 years of experience in Compliance and Branch operations)



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Dubai, UAE



### Qualification / Institute

#### BBA

(Albedo school of business management)

#### HSC

(Maharashtra State Board of Secondary & higher Secondary education)

#### SSC

(Maharashtra State Board of Secondary & higher Secondary education)

### Certifications

#### CAMS

(Association of Certified Anti-Money Laundering Specialists)

### Professional Experience

#### Compliance associate

Aug 2020 – Till now

#### Emirates India International Exchange LLC

Dubai, UAE

### Job Responsibilities

- Performing daily basis screening and closing on AML.
- Proceeding all transactions (Corporate, Retails, and WPS) after reviewing and verification of supporting documents (such as Invoices, BL, BOE, Account statement, cheque, and bank transfer etc.) according to CBUAE and EIIE's policies.
- Performing the due diligence, screening, reviewing and verification of received documentation (such as KYC / CDD), and carrying out an analytical risk assessment for new Clients.
- Periodically reviewing of KYC records for existing clients as to complete, like enhance due diligence, CBUAE standards and policies are compiled and performed.
- Understanding client structures and advising on KYC / CDD requirements and making recommendations.
- Understanding and Reporting to the compliance officer regarding the client's business, and related parties in order to monitor/screening the client's activities for unusual/suspicious transactions.
- Communicate effectively and efficiently with relevant internal and external parties to obtain KYC documents.
- Investigating high-risk clients and reporting to seniors, including PEP, FPEP, and RCA, and obtaining all necessary documentation to complete the client KYC.
- Keeping abreast of developments pertaining to Sanctions, adverse media on clients, and other regulatory developments.
- Screening and Reviewing through Re-Finitive World-Check and Google searches on all clients to identify possible and positive matches and determine risk rating pursuant to EIIE's policies and procedures.

- Monitoring, reviewing, and closing the PTM (Post Transaction Monitoring) on monthly basis according to policies.
- Reporting and closure of the IEMS (integrated inquiry management system) query advice by CBUAE.
- Reporting on IRR / STR to CBUAE.

### **Branch Manager**

### **Emirates India International Exchange LLC**

Jan 2017 – Jul 2020

Deira Dubai, UAE

#### **Job Responsibilities**

- Create and execute the branch business plans
- Responsible for Total branch performance in accordance with policy & procedures
- Ensure branch profitability, manage and develop branch personnel
- Plan, Implement and manage areas of responsibility to facilitate continuous improvement and personal growth while supporting company goals, mission and vision
- Formulates recommendations and provides feedback to management regarding operational policies & procedures
- Provide Sound leadership, anticipate branch staffing requirements to meet operational needs and promote an environment of empowerment, respect and trust while holding Team members accountable for their actions
- Resolving customers issues in a timely and professional manner
- Ensuring 100% adherence to compliance policies by educating the team members

### **Branch Compliance Officer/ Supervisor**

October 2014 – December 2016

#### **Job Responsibilities**

- Reviewing and ensuring KYC documents of all new customers during onboarding according to policies, procedures, and guidelines of EIIE's compliance department.
- Coordinating with compliance department of EIIE to resolve issues or concerns identified during onboarding.
- Recording, Reviewing, and reporting of KYC documents to compliance team for WPS and corporate approval to onboarding.
- Reviewing and identifying SOF (such as cheques, BT transfers, cash withdraw slip etc.) for both customer's retail and corporate according to policies and KYC.
- Reviewing required documents (such as invoices, BOE, BL etc.) for proceeding transactions for trading after ensuring all documents are compiled with KYC.
- Reviewing financial transactions to identify possible instances of money laundering, suspicious activity, or other criminal activity.
- Investigating the suspicious / forged activities of suspected customers and preparing investigation reports for compliance.

#### **Software Experience**

- Tally
- SYMEX
- Paynet
- Dow Jones
- Microsoft Office 2010 (Excel, Word, PowerPoint)

## Skills

- Branch operations management
- AML compliance
- EDD & CDD
- Data analysis
- Team management
- MIS reporting and writing proficiency

## Personal Details

<b>Date of Birth</b>	25 <sup>th</sup> Aug 1990
<b>Passport</b>	M2560985
<b>Nationality</b>	India
<b>Marital Status</b>	Married
<b>Languages</b>	English, Hindi, Marathi, Tulu, Malayalam
<b>Driving License</b>	UAE