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PROFESSIONAL SUMMARY

A postgraduate financial expert with an ISO27001 lead auditor certification who has more than eight years of experience in the areas of audit, hospitality, analysis of credit and risk, AML/CFT, banking operations, internal fraud investigation, reporting, cost center monitoring and management, among other abilities.

CAREER PROFILE

Professional experience in the following areas: Audit of Money Exchange Company in Qatar and India. Audit of the manufacturing of medical products, laboratories, and security services. Stock audits and VAT monthly and annual return filings of different clients of a Chartered Account firm. Internal audit of Housing Finance Company. Financial and cost audit of different departments in flight catering firm accounts, purchases, production and distribution. Also responsible for conducting audits of restaurants, bars and lounges. Audit of the manufacturing of medical products, laboratories, and security services. Bank reconciliation especially on Bank Credit/debit card transaction, Material Purchase and sale of restaurant, preparation of financial statements and report the same to management.

Knowledge in the preparation and implementation of Internal and External auditing with independent and professional audit culture and practice focus on Branches, Departments, Finance, risk, etc., Expertise in managing a broad range of tasks, including budgeting, report writing and team planning. Good at compiling, analyzing, and examining corporate records and timely reporting. Assisted in Central Bank audit and recertification of its ISO 9001-2015 QMS Standards and was responsible for obtaining that recertification from the outside agency (TUV NORD).

ASSISTANT MANAGER AUDIT RAVENBECK LATEX AND SURGICALS (P) LTD. JUN 2022 - FEB 2023

Ravenbeck Security India Limited, Ravenbeck Latex and Surgicals Private Limited and Ravenbeck telecommunications.

Job Description

- Evaluate financial documents for accuracy and in compliance with management and federal regulations for preparing reports. Coordinating with external and legal audits.
- Prepare efficient and accurate audit reports and to ensure work processes are implemented as per the designed audit framework in compliance with the established procedures and standards.
- Identify the financial risk to the organization and offer timely recommendations to reduce the contingency risk.
- Verify the day-to-day stock, financial transactions, invoices and payments to the company.
- Ensure the effectiveness of production management in utilization of resources and control over operations.
- Determine ways to cut costs and improve profitability, assess the efficiency and productivity of internal staff and make recommendations for improvement.
- Conducting reconciliation of banking transactions. Analyzing financial information in order to identify discrepancies, if any.
- Review company policies, processes, standard operating procedures, and instructions so that work is carried out in a controlled and consistent manner.
- Report to the Board of Directors when required, on matters related to internal audit assignments and follow up reports, investigations, recommendations for improvement, risk advisory work and any other ad-hoc activities as required.
- Report present findings to management in the audit committee in the form of Audit reports and presentations.
- Performing such other duties as required as per the needs of the company.

Trust Exchange Co. WLL.(Doha), Lulu Forex Private Limited (India), Pearl Data Direct Private Limited(India), Tablez India Private Limited(India), Toys R us Private Limited(India), Go Sports(India), Galito's and Blooms Burry(India).

Job Description

- Prepare and execute risk-based internal audits for the branch and departments in compliance with regulatory AML/CFT and perform in adherence to company policies, processes, standards and structures. Reports will be prepared as per the board approved Internal Audit plan and submitted the audit report to the BOD in the audit committee.
- Ensuring attainment of the audit plan conducted as per audit methodology, quality standards, AML/CFT rules, against defined audit objectives, criteria, and scope within the approved audit program.
- Facilitate support to other country auditors for analysis of transactions using Tableau.
- Ensure adequacy of audit control, design and operating effectiveness of internal controls.
- Reviewing, Obtaining auditee acknowledgement and commitment to action any audit findings with the auditee.
- Generate, assign, and carry out assigned tasks audit plan. Prepare audit reports in audit grading system software (Pentana Audit) ascertain correct audit procedures to be carried out, clarity of the findings and compliance with the laws and immediate reporting of any areas of concern or risk to BOD.
- Review and prepared policies and procedures for strengthening the internal controls of audit and another department.
- Robust verification of effective implementation audit reports and findings on a quarterly basis and take corrective action plans from Business Entity(s) to ensure that root cause analysis has been completed, corrective or preventive actions identified and responsibilities and timeframes have been assigned based upon risk in a timely manner.
- Reporting audit trend and individual high risk audit concerns is prepared and submitted at the end of every month.
- Reporting potential cases of misappropriation, misconduct and fraud and generating a report, via the audit grading system software, based on objective, independently verifiable evidence.
- Immediately report any whistle blowing or any unusual staff behavior or activity issues to the VP Audit and follow guidance in devising a plan of action with HR and the Business Entity Manager.
- Verify bank reconciliation and provide balance confirmation to banks and creditors.
- Liaison with external auditors and facilitate external audits as necessary.
- Perform departmental audits of other sister concerns of Lulu Financial holdings.
- Maintain records of historic audit reports up to five years to provide insight on past audit activities and findings, and ensure all records are kept up to date as per the company standards.

Job Description

- Prepare annual and monthly audit plans as per the legal and management requirements.
- Prepare efficient and accurate audit reports and to ensure the work processes are implemented as designed audit framework in compliance with the established procedures and standards.
- Evaluate financial documents for accuracy and compliance with federal regulations and prepare reports.
- Identify the financial risk of the organization and offer recommendations to reduce risk.
- Verify the financial transactions, invoices and payment of the company.
- Ensure the effectiveness of management in utilization of resources and control over operations.
- Determine ways to cut costs and improve profitability, assess the efficiency and productivity of internal staff and make recommendations for improvement.
- Conducting reconciliation of banking transactions.
- Coordinating external audits.
- Analyzing financial information in order to identify discrepancies, if any,
- Review company policies, processes, standard operating procedures, and instructions so that work is carried

out in a controlled and consistent manner.

- Performing such other duties as required as per the needs of the company.
- Audit report findings and presentation submitted to management on time.
- Monitor payments, Compliance and relationships with Customers, follow-ups, Interest Collections of the branch and methods of control of NPAs.
- Verify and evaluate clients' creditworthiness. Create credit scoring models to predict risks.
- Maintain records of audits as per the management and legal requirements.
- Ensure all lending procedures comply with regulations.
- Develop, review and update company's credit policies as per the requirements.

**SENIOR EXECUTIVE ACCOUNTS
AND INTERNAL AUDIT**

**CASINO AIR CATERERS AND FLIGHT
SERVICES (CAFS)**

DEC 2013 - NOV 2015

Casino Air Caterers and Flight Services(CAFS), Earth Lounge in Terminal 1 and Terminal 3, Curry Tree, Firefly Lounge Bar, Golf club cafeteria

Job Description

- Verify monthly food costs, price matrices, menu rotations, menu quotation matrices, and any other key data within the invoices of customers.
- Examining inventory-related invoices in detail to ensure accuracy and timely execution, accompanies the Mangalore branch project's finalization of all accounts.
- Led the ERP software automation process new version implementation process for head office and sub-business units.
- Verify and ensure documents are dispatched to the stakeholders either electronically or in physical copy.
- Physical verification of closing stocks in store and in each department on a monthly basis.
- Verify Value Added Tax Returns: Calculation of all branches, verification, and filing. Ensuring the timely update of standard costs of inventory-related items and all direct cost elements.
- Verify reconciliations, including bank Reconciliations and analyses post information for assigned accounting activities into the ledger.
- Ensuring all the reports received from different businesses have been processed and sent accurately and on time.
- MIS reports are analyzed, and provided for planning, controlling, and decision-making.
- Verify the month-end and year-end closure of financial books of business units to ensure smooth function of business in timely manner.
- Ensure the maintenance of standards, safety and comply with the company's Health, Safety, and Environment Management System requirements. Given ideas for creating alternative recommendations by developing different financial models, conducting benchmarking and process analysis, and studying business in the past, future, and comparative performance for capturing and enhancing financial performance for revenue optimization of the company.
- Assist the finance team or finance manager in the execution of statutory and financial audits and the annual budgeting process by verifying detailed budgets for individual business units. Monitor and evaluate the effectiveness of revenue control plans, identify revenue control risks, and develop and implement plans to mitigate these risks.

SENIOR EXECUTIVE ACCOUNTS

OLIVE NEST PRIVET LTD

JUN 2013 - NOV 2013

Olive Nest Privet Ltd (Management reporting, Billing, operation control, Credit collection, Purchase control, Waste management etc..)

AUDIT EXECUTIVE

SAJU& CO. (CA)

NOV 2012 - JUN 2013

Saju& Co. (Chartered Accountant) Audit Value Added Tax (VAT) returns calculation for different business and filing the returns to the regulators. Stock Audit, Branch Audit and Annual Tax return filing

EDUCATION

MBA in Finance

Specialization: Finance

Indira Gandhi National Open University (IGNOU Regular), Kerala, India. 2009 –2011.

Bachelor of Commerce (B Com).

Specialization: Commerce and Computer application

Mahatma Gandhi University, Kerala, India. 2006-2009.

CERTIFICATION

- **International standard for information security ISO 27001:2013 Lead auditor certification:-** Information Security Management System (ISMS), from TUV Nord (Chartered Quality Institute [CQI] and International Register of Certificated Auditors [IRCA])(No. 3530143002r).
- **Diploma in Computerized Financial Accounting (Tally),** (Jun.05 to Feb. 05).
- **Advanced AML Compliance Essentials, 23rd** November 2021(Approved by CGSS and CAMS).
- Completed certified courses under Global Learning and Development Academy on Risk Management and Employee's Role in Managing Risk.

SKILLS

Computer Knowledge: -Tableau, Pentana audit, Excellent in MS Excel, MS Word, PowerPoint, Microsoft Dynamics AX, YOM(Lulu ERP), Kastle, Hot soft/ FKMS (CAFS ERP.), Tally, VB, and C.

Soft skills:- People-oriented person and team player, Strong interpersonal skills, Analytical skills, open to learning from feedback. Strong understanding of accounting theory and bookkeeping. HACCP food standards and ISO quality assurance implementation. Ability to cope with pressure in a positive manner. Strong technical skills and abilities to work under pressure with reputation of unwavering accuracy, credibility and integrity.

Languages known: - English, Malayalam, Hindi, and Tamil

TRAININGS

- Code of Conduct- Internal Audit.
- Anti-money laundering & Counter Financing of Terrorism(AML/CFT),
- AML and CFT-H2,2021 Qatar
- Targeted Financial Sanctions(TFS)-Qatar
- Branch Opening Closing procedure-Bahrain
- Successfully completed Basis of Computers Certificate Number 613037168

PERSONAL INFORMATION

Visa status :- 201/2023/11400185038 (Visit Visa)

Passport Number :- V4008380

Passport Expiry :- 01/11/2031

Address :- Nellimattathil House, Assamannoor P O, Ernakulam District, Kerala, India, PIN-683549

REFERENCES

Reference please visit:- <http://www.linkedin.com/in/hareeshnn>