



SHARATH NS

CONTACT

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PROFILE

Experienced Financial and Compliance professional with overall 3+ years' experience in the financial services industry. In depth understanding of anti-money laundering procedures, CDD, EDD, sanctions screening, transactions monitoring, periodic review and transactions analysis. Self-motivated and highly organized with an exceptional work ethic.

PERSONAL DETAILS

- Date of Birth : 18.04.1998
- Marital Status : Single
- Nationality : India
- Visa Type : Residence Visa

TECHNICAL SKILLS

- MS Excel
- MS Word
- World Check One
- Dow Jones
- IEMS
- MS PowerPoint
- DMS (Document Management System)
- Web based research and investigation
- Accounting

EDUCATION

B.COM

(GRADE -66%)

ECR INSTITUTE OF MANAGEMENT STUDIES, KARNATAKA, INDIA.

DIPLOMA IN AVIATION AND HOSPITALITY MANAGEMENT

(GRADE -65%)

ECR INSTITUTE OF MANAGEMENT STUDIES, KARNATAKA, INDIA.

DIPLOMA IN COMPUTER APPLICATION

KARNATAKA COMPUTER EDUCATION, KARNATAKA, INDIA.

WORK EXPERIENCE

ASST. COMPLIANCE OFFICER, Orient Exchange & CO. (L.L.C)

Corporate office, Dubai, UAE

November 2021– Present

- Sanctions screening of individual and corporate customers (Onboarding and Periodic review).
- Assisting with KYC updating, Sanction, CDD, EDD, and Consolidated KYC.
- Responding to the CBUAE, RFI, FIU and Police Inquiry requests on a timely and efficient manner.
- Preparing and submitting STR and SAR in GOAML.
- Responding to IEMS queries from FIU.
- Applying and adapting knowledge of any imposed sanctions or laws and regulations issued by the Central Bank of the United Arab Emirates.
- Real time Transaction Monitoring and approving.
- Preparing CDD/EDD reports for the purpose of Internal Audit and Central Bank Audit.
- Assisting in preparation of AML policies and Procedures.
- Working on alerts generated on Transaction Monitoring System and escalating suspicious cases to the CCO.
- Preparing CDD/EDD for On-going monitoring of transactions to identify high-risk, unusual and suspicious customers/transactions.
- Working on ML/TF Typologies, Trends, Scenarios and Red Flags.
- Establish and maintain appropriate AML/CFT policies, procedures, processes and controls.
- Receive suspicious transaction alerts from employees and analyze them to take appropriate decisions to report all suspicious cases to the CCO.
- Ensure day-to-day compliance of the business against internal AML/CFT policies and procedures.
- Arrange to retain all necessary supporting documents for transactions, KYC, monitoring, suspicious transaction reporting and AML training for the minimum period for record retention.
- Responding queries received from LEA (Law Enforcement Agencies).
- Identifying problems/issue regarding suspicious activity (fraud/AML).
- Reviewing and/or investigating matches against sanctions, PEPs, adverse media and internal lists in a timely fashion and processing as appropriate.
- Responsible for monitoring day-to-day transactions of the branch for any unusual/structured/suspicious/blacklisted ones and report to the Chief Compliance Officer.
- Ensured that information obtained was consistent with AML Policy and Procedures and satisfied regulatory requirements.

COMPLIANCE SKILLS

- KYC & Compliance Operations
- AML -Investigations
- Transaction Monitoring
- KYC- Client Due Diligence/ Client On boarding
- Case management
- Sanctions and Negative News Screening (Google Advanced Screening)
- STR/ISTR Investigation and Reporting
- Data Collection & Analysis

KEY SKILLS

- Customer centered approach to compliance issues
- Able to meet tight deadlines and work schedules
- Organizational and business development planning skills
- Keen on process improvements
- Good computer knowledge and technical skills.

LANGUAGES KNOWN

- English
- Hindi
- Kannada
- Malayalam
- Tamil
- Telugu

EXTRA CURRICULAR ACTIVITIES

- National Service Scheme [NSS]
- RED CROSS
- Blood Donation

- Educating the staff in the branch on "Know Your Customer" procedures.
- Conduct more extensive, due diligence for higher risk amounts/ customers and include proactive monitoring for suspicious activities.
- Reviewing and/or investigating matches against sanctions, PEPs, adverse media and internal lists in a timely fashion and processing as appropriate.
- Completing customer Due Diligence (CDD) on new clients and conducting Enhanced Due Diligence (EDD) on existing clients (periodic Review) based on their risk category and recommends for exiting or continues of business relations.

CSR – Cashier, Thomas Cook (India) Limited, Kempegowda International Airport, Bangalore, Karnataka, India.

August 2019–April 2021

- Purchase and sale of Foreign Currency.
- Convincing Customers to Exchange Currencies and Billing quickly without making them wait.
- Providing Training to newly joined Employees.
- Co-coordinating with Finance department for fund management.
- Trading in foreign currencies with other branches.
- Looking after the documentation and system entry part for export, import and FX forward.
- Having thorough understanding of Forex market and AML/CFT.
- Responsibility for increasing FC Purchase and Sale as directed by management.

CERTIFICATIONS

- **CAMLRO** - Certified Anti Money Laundering Reporting Officer.
- AML/CFT Training & Assessment Training.
- Fraud Risk Assessment Training.
- Attended CAMS webinars (Perusing Certification).
- Completed CPD Training.

REFERENCES

1. **MR. SARFRAZ GILL | CCO**
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2. **MR. POORNA CHANDRA KISHORE VARMA | ACO**
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DECLARATION

I, hereby declare that the information presented above is correct to the best of my knowledge and belief.

Sharath NS