

## ARJUN PADMANABHAN

E-mail: arjun.padmanabhan@gmail.com Mobile: +91-63834 09194/+91-98847 83585

Linkedin - <https://www.linkedin.com/in/arjun-padmanabhan-742b78116>

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### PERSONAL SUMMARY

- ✓ A highly motivated and competent Master's Degree holder in Financial Laws and Risk Management from one of the country's premier Law Universities.
- ✓ Specialized to provide key legal, risk and analytical support in the Financial Services domain.
- ✓ 5+ years of experience in Global Securities Operations for leading Multi-National Banks and Asset Servicing Companies and Business Operations for Online Marketplace (Financial Products).
- ✓ Extensive knowledge and incisive experience in setting-up and driving projects and processes efficiently. Ensuring end to end implementation and accurate and risk-free process environment by identifying and implementing key controls.
- ✓ Proficient in managing the MO and BO Functions, Trade Life Cycle Events - capture, validation, enrichment, confirmation, notification & settlement.
- ✓ Ambitious and looking forward to play a pivotal role in the financial decision-making and adding significant value to the business.
- ✓ People-friendly & approachable with excellent planning, analytical, problem-solving and interpersonal skills.
- ✓ Consistent academic record with zeal to learn new concepts quickly and apply innovative ideas for achieving better results.

### ACADEMIC

- ✓ **Master Degree in Financial Laws and Risk Management – ML-(FS & CM)** from **NALSAR University of Law and Institute of Insurance and Risk Management**, Hyderabad in 2013 (CGPA 5.40/8).
- ✓ **B.Com (Bank Management)** from **Ramakrishna Mission Vivekananda College of Arts and Science (Autonomous)**, Chennai in 2009 (Secured 66.33%).
- ✓ **Class 12<sup>th</sup> (Commerce/Economics/Accountancy/Business Mathematics)** from **Satchidananda Jothi Niketan**, Mettupalayam, Coimbatore Dist. (**Tamil Nadu State Board**) in 2006 (Secured 83.08%).
- ✓ **Class 10<sup>th</sup>** from **Spartan Matriculation Higher Secondary School**, Chennai (**Tamil Nadu State Board**) in 2004 (Secured 68.54%).

### PRIMARY SKILLS

- ✓ Process and Operations Management
- ✓ Risk Management and Controls
- ✓ End to End Process Flow Knowledge
- ✓ Business and Partner Management
- ✓ Trade Life Cycle Management
- ✓ Team Management, Motivation and Leadership
- ✓ Business Reporting and Analysis
- ✓ Projects and Transitions
- ✓ Process Enhancements and Documentation

## **PROFESSIONAL**

### *Organization – State Street HCL Services (India) Pvt. Ltd., Coimbatore (Mar 2018 – Jul 2019)*

#### **Title – Subject Matter Expert/Team Leader**

##### **✓ Project and BAU Deliverables**

- Played a key role in successfully transitioning the Trade Management (Equity, Bonds and US Treasury and Global) processes from Philippines to India ensuring delivery without zero business impact and efficient streamlining.
- Handling a 12 member team for processing Corp/UST/Global Bonds and Equity settlements.
- Daily communication with clients to agree upon upcoming critical cash flows and actively work on running process health checks, implement strong process governance to ensure operational efficiency as per SLA and onshore.
- Led process excellence and process enhancement projects within the team to improve the process & its efficiency.
- Preparing and evaluating the SOP's every quarter with on-shore partners to ensure SOP's are updated and version controlled.
- Organized daily huddles and weekly team meetings to discuss process updates, statistics and client expectations.
- Training, grooming and motivating a team of fresh resources to be able to adapt to the new environment, handling pressure and perform all activities accurately and effectively with minimum supervision.
- Investigating and providing analysis on client fails through various means, including daily interaction with onshore, MO and clients through MTM & GFR Reports, Aged Fails and Top 70 Breaks.
- Timely escalation to Operational and departmental leads of all risks and issues.
- Responding to client queries relating to position breaks, Trade bookings and settlement and reporting etc.
- Perform role as a process owner and being accountable for all outstanding items and ensure client SLA's are consistently delivered.
- Responsible for all components of the daily settlement and funding on client accounts under various custodians for DTC, FED and Global markets, ensuring accurate and timely processing, through adherence of internal control policies and procedures.
- Preparation of checklist for daily BAU items to be performed, reviewed and signed-off.
- Allocation of volumes to the team members and ensure they all are processed within the defined SLA.
- Ensuring error-free processing by implementing key controls and sufficient knowledge transfer to the team.
- Performing quality assurance checks on all transactions processed by the team members.
- Escalations handling related to process/people management issues.

### *Organization - A & A Dukaan Financial Services (BankBazaar.Sg), Chennai (Sep 2016 – Jan 2018)*

#### **Title – Senior Business Operations Analyst**

##### **✓ Project Deliverables**

- Preparing process flow diagrams and checklist for business and operational requirements in tandem with workflow, internal SOP and model of business agreement with partners.
- Define, maintain and track progress of checklist items to be implemented for various partner/product launches and ensure adherence and quality within set ETAs.
- Liaison for operational requirements and clarifications, with IT, Business and relevant stakeholders and hence close information gaps.
- Providing functional support during the development and testing phases by reporting bugs/issues and reviewing test scenarios/cases.

- Support Go-live activities and overall operational readiness. Understand, review and validate partner/business rules and requirements and obtain all required sign offs.

✓ **BAU Deliverables**

- Interacting with relevant stakeholders (includes partner, internal teams and management) responsible for day-to-day operations.
- Building rapport and streamlining partner operations in order to achieve business targets.
- Review feedback and incorporating sustainable improvements aiming at enhancing the overall approach towards business and targets.
- Ensuring that all customer requests/complaints are being handled while coordinating with Bank Partners.
- MIS reporting, ownership and accountability of accounts to all concerned stakeholders.
- Ensuring growth in terms of key ratios for the owned accounts.
- Track, generate and validate submissions/conversion data every month with respective partners and share the same with Finance team for invoicing.
- Performing target analysis, competitor analysis and partner and product analysis.
- Prepare weekly and monthly review decks with info-graphics on business pattern and trends.

*Organization - RBS India Pvt. Services Ltd., Chennai (May 2016 – Sep 2016)*

**Title – Operations Analyst**

✓ **IRD Settlements: All regions**

- Successful transition of IRD Post Settlements process to offshore location in Chennai.
- Ensure adequate knowledge of market and products, maintain client confidentiality and construct an efficient reporting process.
- Investigation and speedy resolution of post settlement breaks, working in liaison with counterparties involved.
- Prioritizing high value and ageing breaks and breaks due to erroneous payments.
- Working closely with the Recon team to identify breaks and consequential risks involved.

*Organization - BNP PARIBAS SUNDARAM GSO, Chennai (Nov 2013 – Nov 2015)*

**Title – Operations Analyst**

✓ **Trade Support: Brussels & Paris Derivatives (ETD)**

- Processing Derivative trades in internal systems.
- Liaise with traders and internal counterparties to ensure accuracy in trade capture.
- Analyze risks and investigate any failure, mismatch or error in the trade capture process.
- Provide support or resolve any ad hoc queries such as trade and confirmation details arising from traders, counterparties, clients, Regulatory Authorities and other departments.
- Leverage product and process flow knowledge to provide input and participate in testing for new business projects.
- Resolving all process related exceptions and reporting accurate monthly MIS & KPI data.
- Assist on-boarding team to set up new clients and manage and resolve static data relating to product, funds and clients.
- Consistently reviewing and updating SOP and required process enhancements.

✓ **Reconciliation and Investigation: UK Derivatives**

- Engage in day to day desk support & complex issues resolution - including trade validation, trade life cycle management, reconciliations and all trade dated controls.
- Reconciling and reporting ETD and CFD positions and cash to clearing brokers, prime brokers, fund accounting, oversight and clients.
- Escalating exceptions to appropriate processing team for resolution.
- Reporting of exceptions in line with internal control and external client requirements.

## **CERTIFICATIONS**

- ✓ Industry recognized Lean Practitioner Certificate.
- ✓ Pursuing Executive Program in Advance Corporate Finance & Risk Management – IIM Raipur.

## **REWARDS and RECOGNITIONS**

- ✓ Spot Award 1 @ BNP PARIBAS (12/2013)
- ✓ Champion of the Month Award @ BNP PARIBAS (03/2014)
- ✓ Spot Award 2 @ BNP PARIBAS (01/2015)
- ✓ Spot Award 3 @ BNP PARIBAS (04/2015)
- ✓ Team of the Quarter 1 @ BNP PARIBAS (01/2015 – 03/2015)
- ✓ Team of the Quarter 2 @ BNP PARIBAS (04/2015 – 06/2015)
- ✓ Award of Excellence @ bankbazaar.sg (Q3 2016-17)
- ✓ Best Performer Award @ State Street HCL Services (07/2019 – 09/2019)

## **INTERNSHIP**

### **Organization - INDIAN BANK – Sterling Road Branch, Chennai (2009)**

- ✓ Industry based live Report: Retail & Commercial banking

### **Organization - INDIAN BANK – HO (Risk Management Dept.), Chennai (2012)**

- ✓ Industry based live Report: Credit Risk Management Policy adopted by banks in India.

## **TECHINICAL PROFICIENCY**

- ✓ Competent user of Windows OS and MS Office.
- ✓ Business Applications – Bloomberg, Fail Station, All custodian websites, DTCC, ALERT, Broker SSI and UTVeiw, SMARTS, BOE, Ticket Viewer, TradeFlow, Hi-Port, Intellimatch, PLM & TLM, CRM Applications, Smartdraw, Lucidchart, Smartsheet and R (Shiny) Dashboard for Business and Data Analytics.

## **PERSONAL DETAILS**

Date of Birth: 6<sup>th</sup> May, 1989

Residential Address: House No. 2/3, 8<sup>th</sup> Cross Street, Shenoy Nagar West, Chennai - 600030

Current Address: House No. 2/3, 8<sup>th</sup> Cross Street, Shenoy Nagar West, Chennai - 600030

Languages Known: English, Hindi, Tamil and Malayalam

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## **DECLARATION**

I hereby declare that the above provided information is true to the best of my knowledge.

ARJUN PADMANABHAN