



Ciriculum Vitae

PAVAN VENKATESH

N0 66/A 12TH MAIN ROAD MATHIKERE

Bangalore 560054

Phone no: 9844431563

Email:pavan9540@gmail.com

Career Objective

To work in a challenging career by exploring, establishing myself & my knowledge in the changing business scenario efficiently and sincerely to deliver results beyond what is assigned to me help the organization to grow and personally grow up in career.

Professional summary

A competent professional with MBA in Finance and marketing with an overall experience of 8+ years in Investment Banking, Asset management Custody banking profile across the tenure with expertise in various financial products with middle office ,back office and Trade lifecycle operations along with migration of various processes from onshore to off shore location

Education Qualifications

Degree	Institute/ University	Specialization	Year	%
MBA	DAYANANDA SAGAR COLLEGE OF MANAGEMENT &IT	FINANCE&MARKETING	2013	65
B.COM	MES COLLEGE OF COMMERCE	FINANCE	2011	70

Top Skills



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- Client and Stakeholder management.
- Trade Lifecycle
- Operation Risk management
- People Management.

Applications Knowledge

- CTM
- Aladdin
- Market wire
- Murex
- CLS
- TLM Reconciliation Tool

Professional Experience

Company

- Northern Trust
- Duration July 2023 to Present.
- Job Title: Team Lead (Manager)
- Department: Derivatives operations and Client Services
- Roles & Responsibilities

1. To manage the OTC and Exchange traded business for Northern trust custody operations.
2. To ensure all the OTC and Exchange traded trades sent by Hedge fund/investment managers are captured and affirmed in Northern trust systems on T+1 basis.
3. To ensure all the OTC and Exchange trades cash instructions sent by Hedge fund/investment managers are processed cleared and settled on a value date
4. To ensure all OTC and Exchange trades are reconciled as per broker and Hedge fund/ managers and ensure correct ledgers have been posted.
5. To act as a intermediary/first point of contact between hedge fund/ Investment managers and Brokers for any issues regarding settlement and reconciliation and ensure the issue is resolved in an timely manner.
6. To ensure all the manual/Fax cash instructions which are sent by investment manager are properly validated as per the custody policy.
7. To ensure all the cash instructions are processed cleared and settle before currency /Market cut off.
8. To provide approvals for High value payments and ensure it goes through proper checks and controls.
9. To ensure and escalate any operational issues with stakeholders in an appropriate manner.
10. To ensure escalations/client complaints which are received from counterparties are examined, resolved in a timely and appropriate manner as per the custody policy.
11. To ensure detailed operating Procedures are checked verified and approved on a regular basis.
12. To work with client services managers/RM for on boarding of new client



/Investment managers by ensuring what does operation team required to ensure all the trades and cash related instructions which are sent to custody are captured processed cleared and settled in an timely and accurate manner.

13. To lead the process and work with external and internal stakeholders which includes hedge fund/ investment managers ,sub custodians ,agent banks, clearing houses and Brokers for any operational issues .

Managerial Responsibilities.

1. Currently managing 15 full time Partners and responsible for the work allocation leave management and approval of time sheet, overtime and shift allowances.
2. Ensure all the partners are cross trained and there is continues learning.
3. Ensure to provide feedback to all the partners on a regular basis on their performance
4. Conducting of performance appraisal for midyear and year end and Provide ratings to partners.
5. Ensure partner is motivated in the work and provide required guidance and support.
6. Nomination of partners for awards who have excelled in the process.
7. Ensure high level escalations from client stakeholders and partners to the senior management and obtain proper guidance.
8. Supporting Higher management and Human resources team for recruitment of analyst and senior analysts for the department .
9. To be a part of internal and audit calls and provide accurate date regarding the process control checks and risks involved.
10. To be a part of daily calls with the top level management ,investment managers and stakeholders

Projects Worked

- Worked on a project called Northern Trust digitizer where all the cash instructions and SSI details gets auto captured and the payment gets processed through STP without any manual intervention.

Company

- Societe Generale
- Duration: Sep 2021 to July 2023
- Job Title: Senior Analyst (Lead operations)
- Department: Trade Support Unit (Middle office Operations)Crest.domestic.Eurolear markets
- Roles &Responsibilities

- 1.To book the trade economics of Equity and Fixed income securities which are traded by SG Paris and London entities in a timely and accurate manner.
- 2.To amend /rebook the trade economics as per request from sales/traders with proper approvals.
3. To destroy the trades which are reflecting as duplicates after getting proper approvals
- 4.To ensure the trades booked and amend flows correctly from front office to back-



office systems correctly without any differences.

5.To reconcile the trades flown from upstream to downstream systems and take appropriate action if the trades have any differences

6.To check and amend the PSET (Place of settlement) as per client's request

7 To allocate/split the main trade into different sub funds/Portfolios correctly as per the request from the client for Equity and Fixed income securities

8 To ensure all the trade economics are matched correctly and trades get matched /affirmed over various electronic platforms within the defined timeline.

9. To check all the trades which are unmatched and mismatched and ensure the trades get matched/affirmed in various platforms within the defined timeline.

10.To work with ITEC teams if the trades are stuck in platform by investigating the reason behind and ensure the trades are matched /affirmed in platform without any delays.

11 Act as a point of contact for any trade related issues between front office and back-office teams.

12 To ensure and do proper checks for all the mails going to clients with proper information so that there is no client confidentiality breach

13.Responsible for ensuring that all operational issues are resolved procedures Are in line with as per SLA

14. To ensure high risk and high-volume trades are flagged off to the management on a timely basis and proper escalation matrix are followed.

15. To update front office about the status of the trade which is not settled for more than one vd by giving proper justification/ reason as advised by back-office teams.

16. To ensure trade is enriched with proper information which includes clients contacts client's custody contacts and Escalation contacts which is used by the back office to send confirmations and ensure the trade is settled without any complications

Company

- Deutsche Bank.
- Duration: March 2019 to August 2021.
- Job Title: Senior Analyst (Process Supervisor).
- Department: Trade processing Group.
- Entity: Deutsche Wealth Services.
- Roles &Responsibilities

1. To Match, Confirm and Settle all fixed income Trades which are traded by Dws entities in a timely and accurate manner.
2. To Match, Confirm and Settle all Equity Trades which are traded by Dws entities in a timely and accurate manner.
3. To Match Confirm and Settle all option Trades which are traded by Dws entities in a timely and accurate manner.
4. To Match Confirm and Settle all CDS,IRS which are traded by Dws entities in a timely and accurate manner
5. To work with the counterparties, internal stakeholders, traders Middle office. Trade amendments team for any trade discrepancies and resolve the issue in a timely manner.
6. To ensure all economic and non-economic details of the trades are matched and settled on the value date
7. To work with custodians sub custodians (Agent banks) and cp and ensure trade is confirmed and settled in the market before the cut off.
8. To ensure there is no buy in risk, penalties, for equity and fixed income trades traded



with the cp.

9. To act as a single point of contact for SSI and call back verification
10. To ensure there is available of securities and bonds in proper location for our sell trades before the settlement date.
11. To ensure our custodians have sufficient funding for our buy trades on the value date
12. To escalate apac market and critical market trades to the management, front office if the trades are not settled on the value date.
13. To work on the fails management and escalate to brokers RM and front office
14. To ensure counterparty SSI are properly updated in our internal systems by our Static team and also our SSI are given to counterparty correctly.
15. To ensure and do proper checks for all the mails going to cp and custodian so that there is no client confidentiality breach
16. To provide training to new employees on matching, Confirmation and settlement of various financial products and updating of SOP, and KOP procedures every month.
17. Acting as a first point of contact for all the escalations and Issues regarding trade confirmations and Settlements.
18. To resolve the queries regarding breaks of cash(Nostro)and Depot(Stocks) raised by reconciliation team and advising them the reasons for difference and ensure they are no breaks between our records and custodian records .
19. Taking care of team management and work allocation and other issue in absence of higher management.
20. Providing feedback on the performance of the analysts on a monthly basis to the management.

Projects Migrated.

- **Migrated Stock connect and bond connect trades from DWS hongkong entity to Bangalore.**

Company

- Australia New Zealand bank
- Duration: Sep 2016 to Nov 29 2017

- Job Title : Senior Markets Officer
- Department : Investment banking operations.(derivatives fixed income and fx settlements)
- Roles &Responsibilities
 1. To Settle all derivative Trades which are traded by Anz entities in a timely and accurate manner.
 2. To Settle and c all fixed income Trades which are traded by Anz entities in a timely and accurate manner.
 3. To settle foreign exchange products which includes Cross currencies ndf currencies & ndx currencies?
 - 4 .Act as a SME and provide training on derivative and fixed income products.
 5. To resolve issues of counterparties in terms of mismatch of amounts and failed payments.



6. To generate proper amounts are processed to Anz nostro accounts and there are no duplicates.
7. To ensure static team updates the correct SSI for counterparties who deals with various asset classes.
8. Contacting Front Office /Middle Office /counterparties for any unmatched or mismatched confirmations and follow up till resolution.

Company

- Goldman Sachs (On the payrolls of collabera Technologies)
- Duration: Sep 2015 to Sep 2016
- Department: Middle office (static data)
- Job Title : Financial Analyst
- Roles &Responsibilities
 1. To settle foreign exchange Trades which includes ndf currencies & ndx currencies.
 2. To settle foreign exchange cross currencies which are traded by Gs
 3. To settle all fixed income products which are traded by GS entities in a timely and accurate manner.
 4. To make swift payments to banks and corporates on a timely and accurate manner.
 5. To send swift confirmation messages for counterparties.
 6. Contacting Front Office /Middle Office /counterparties for any unmatched or mismatched confirmations and follow up till resolution

Personal Details

- Father's name: SP. VENKATESH
- Nationality:Indian
- Marital Status:Married
- Languages Known: English,Hindi,Kannada,Tami

References



- **Mr.Raj Kathare**–Senior Officer UBS Ph: +91-8553070202
- **Divya** –Manager Jp Morgan Chase Ph+91-9743431534

I affirm that the information compiled in this document is precise & accurate in its entirety and that the certificate of which can be produced anytime if required

PAVAN VENKATESH



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