

## AMIT PINGULKAR

MHB Colony, 16/857, Kher Nagar, Bandra East, Mumbai 400051.

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### PROFILE SNAPSHOT Senior Level Assignments Handled: Corporate Action/Back Office Operations – Depository & Custody

MBA (Finance) with over 15 years of rich experience in Financial Services. Presently associated with BNP PARIBAS BANK, Mumbai as Assistant Manager. A keen & strategic planner with strong skills in implementing schedule for the inspection to be conducted on monthly basis, conducting inspection of the depository participants etc. Adept in spearheading corporate and financial planning initiatives; deftness in enhancing business processes and systems. An enterprising leader with strong analytical & organisational abilities along with skills in depository operations.

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#### CAREER CONTOUR

##### BNP PARIBAS BANK

##### Custody Operation Department

since Nov' 21

- ✓ Performing daily activities of the Local Custodian back-office for Corporate Action processing, including event creation, settlement and reconciliation process.
- ✓ Primary market operations of clients Including Mutual funds subscription and redemption.
- ✓ Tax reporting and tracking of tax computations and also ensuring timely tax payments.
- ✓ Billing activities for the clients
- ✓ Ensuring ownership of client instructions and provide reporting to clients for anticipated corporate action issues.
- ✓ Interaction with clients and CSM for operational issues.
- ✓ Liasing with market participants (Regulatory bodies, exchanges, brokers, DPs etc) and internal stakeholders for smooth functioning.
- ✓ Performing UAT for Tax and Corporate Action processing & Settlement
- ✓ Other ad-hoc responsibilities like Corporate Action & Tax MIS Accounting etc

##### NATIONAL SECURITIES DEPOSITORY LTD.

##### Corporate Action Department

Oct'12 – Nov' 21

- ✓ Execution of corporate actions for IPO, Bonus issue, Preferential issue, Right issue, ESOP, schemes of Amalgamation, Demerger, NFO Allotment, Redemption, Restructuring Merger of AMC and schemes.
- ✓ Monitoring the Corporate action for the companies and coordinating with the Issuer & Registrar and Transfer Agents to complete process within stipulated timeline
- ✓ Corporate action of mergers, acquisitions, listing of new companies and de-listing existing ones
- ✓ Coordination with the Internal audit team and SEBI team for the inspection.
- ✓ Implement and maintain a reporting model to provide timely and relevant management information through dashboards, weekly management meetings.
- ✓ Providing the data and MIS related to demat to SEBI, EOW, ED and other regulatory authorities on regular intervals and as per the requirement
- ✓ Drafting and updating standard operating procedures and circulars to Issuer/Registrar and Transfer Agent.
- ✓ Conduct training of new Registrar and Transfer Agent and assist in the pilot testing in the UAT environment
- ✓ Writing, drafting and capturing of business requirements development (BRD) for system improvement
- ✓ Gather requirements from business and work and act as liaison between operation and IT and assist IT team in UAT preparation
- ✓ Assist test case preparation and data review the test results of the UAT and ensure the changes are in line with the requirement.
- ✓ Coordination with the Resolution Professionals for claim settlement and providing the desired requirements as per the Insolvency and Bankruptcy Board of India.
- ✓ Enabling and disabling the securities for trading or any other mode as per the circulars and notices issued by the SEBI, NSE, BSE, or regional stock exchanges
- ✓ Final Review of confirmations drafted by team and Ensuring error less processing while capturing / releasing the data in the system.
- ✓ Clear understanding of risk and highlight those to management
- ✓ Ensuring that days operations are reconciled and a sign off of the operations are filed for record
- ✓ Ensuring the daily settlement of Mutual Fund schemes
- ✓ Maintaining and updating Standard Operating Procedures (SOPs)
- ✓ Coaching of new employee and assist in department process
- ✓ Planned, coordinated department employees and supported departments of work to be completed daily.

**Oct'10 – Oct'12**

**Issuer Registration Department**

- ✓ Scrutinisation and coordination with the companies who wish to offer demat facility to its shareholders by admitting the securities in NSDL
- ✓ Provide support to Issuers and RTAs for their application made for Joining, ISIN Activation and Corporate action
- ✓ Allotment of ISINs for equity shares, preference shares, warrants, commercial paper and other securities
- ✓ Scrutinisation of the documents, Annual report, Networth and the eligibility of the companies who wish to join NSDL as an Issuer

**May'10 – Oct'10**

**EDELWEISS CAPITAL LTD.**

**Associates in SRD Department**

- ✓ Looked after the Sub Broker Enrolment applications for Mutual Fund, Equity, Personal Loan & Fix Deposit and Solved the grievances raised by Sub Broker in terms of commission, product and services
- ✓ Prepared SB Brokerage Slab
- ✓ Responsible Punching orders of primary market issues (IPO).
- ✓ Coordinated with System for enhancement & smooth flow of software's

**Sept'08 – May'10**

**ANGEL BROKING LTD.**

**Executive in TPD Department**

- ✓ Handled the operations for Third Party Distribution which includes Mutual Fund, Insurance, Personal Loan, and Fix Deposit.
- ✓ Looked after the Insurance, Mutual Fund Sub Broker Enrolment applications and Solved the grievances raised by Sub Broker in terms of Insurance, Mutual Fund
- ✓ Handled the monthly commissions of the Sub brokers & Employee's for Insurance & Mutual Funds. Followed up for the pending cases of Insurance
- ✓ Prepared reports and analysis, which support sales team with productivity
- ✓ Prepared financial reports and analysis, which support reporting activities, including pricing, budget development, and profitability related trend analysis.
- ✓ Designed various contest for Employee and Sub broker to support sales
- ✓ Prepared MIS, which support reporting activities with internal and external stakeholders
- ✓ Collected data pan India basis(Weekly and Monthly basis) for reconciliation

**Sept'05 – Aug'08**

**VENTURA SECURITIES LTD**

**Dealer**

- ✓ Managed the Bolt operations NSE & BSE cash market and executed orders for HNI Clients & FII in Cash and F& O Segment.
- ✓ Handled Stock Broking, Depository Services, and Mutual fund Distribution & Services and managed.
- ✓ Ensured the clients follow stop-loss and revision of price targets.
- ✓ Prepared MIS, which support reporting activities with internal and external stakeholders
- ✓ Monitored Fees, Margin and outstanding fess at the separate client level.

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**EDUCATIONAL CREDENTIALS**

**MBA in Finance, 2009**

ITM Executive Education Centre, Mumbai; First Class

**Diploma in Business Management, 2003**

Welingkar Institute. Of Management, Mumbai

**Bachelor of Commerce, 2002**

University of Mumbai

**Higher Secondary School Certificate, 1999**

Maharashtra State Board; FIRST Class

**Secondary School Certificate, 1997**

Maharashtra State Board; SECOND Class

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**Date of Birth:** 28th Aug 1982

**Languages Known:** English, Hindi and Marathi