

Ashutosh Kumar R.

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PROFESSIONAL SUMMARY

Equity Quality Analyst with experience in equity and derivatives trading, dealer auditing, compliance monitoring, risk management, and dealer training. Former Equity Derivatives Dealer and Team Lead with hands-on experience in trade execution, client operations, exposure monitoring, and market analysis. Developed ADAM-AR, an AI-based system to automate equity dealer call auditing, trade matching, compliance checks, and scorecard generation.

SKILLS

Markets

- Equity Trading
- Derivatives
- Trade Execution
- Market Research

Quality & Compliance

- Dealer Auditing
- Compliance Monitoring
- Risk Management
- Quality Assurance

Operations & Technology

- Dealer Training
- Data Analysis
- Process Automation
- AI Workflow Design

PROFESSIONAL EXPERIENCE

Equity Quality Analyst, FundsIndia, Chennai

Jan 2026 – Present

- Audit equity dealers for process, compliance, and regulatory adherence.
- Identify trading errors, compliance deviations, operational risks, and process gaps.
- Provide corrective feedback and conduct dealer training on trading and compliance.
- Monitor dealer performance, client activity, and risk exposure.

Equity Derivatives Dealer / Team Lead, Goodwill Wealth Management, Chennai

Jun 2024 – Dec 2025

- Executed equity and derivatives trades with accuracy and timely execution.
- Monitored client positions, margins, exposure, and trading activity.
- Supported KYC, account opening, client servicing, and trading operations.
- Led a remote sales team supporting client acquisition and team performance.

PROJECT

ADAM-AR – AI-Based Equity Dealer Call Audit System

- Developed an AI-based workflow to automate equity dealer call auditing, trade matching, compliance checks, and scorecard generation.
- Built a pipeline covering call transcription, PRE_ORDER classification, trade matching, and Q1–Q5 compliance scoring.
- Integrated automated processing to reduce manual audit effort and improve consistency in dealer quality monitoring.

INTERNSHIP

Investment Banking Simulation, Forage

May 2024

- Completed practical exercises in M&A, financial analysis, auction evaluation, and financial modelling.

EDUCATION

BBA – Finance & Business Management, Annai Violet Arts & Science College, Chennai
Madras University

2021 – 2024

Higher Secondary – Commerce, St. Pauls Matric Hr. Sec. School

2019 – 2021

CERTIFICATIONS

NISM-Series-VIII – Equity Derivatives | NISM-Series-VII – Securities Operations & Risk Management
NISM-Series-V-A – Mutual Fund Distributors | SEBI Investor Certification (NISM)
MS Office – Naan Mudhalvan | Statistical Analysis | CRM – HP LIFE

LEADERSHIP & LANGUAGES

Team Lead, Goodwill Wealth Management – Led a remote sales team supporting client acquisition and performance.

Core Member, Literaria Club – Coordinated academic and cultural activities.

Hindi | English | Tamil (Beginner)