

# ARTHUR JOHN S. RECIO

Assistant Manager for Operations – Production Quality Controller (May 2014 – April 2021)  
KYC Services, HSBC Electronic Data Processing (Philippines), Inc.  
Passer, International Advanced Certificate in Anti-Money Laundering (February 2017)  
Contact: +639062624680 | E-mail: arthurjohnrecio@yahoo.com



## WORK EXPERIENCES

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- Performs audit and ensures high quality standards are maintained for all client due diligence profiles assigned to KYC analysts and holds feedback/coaching sessions in addressing quality issues.
- Recommends/supports KYC analysts in undertaking further client due diligence whenever required.
- Conducts process trainings to new Production Quality Control (PQC) analysts and KYC analysts.
- Cascades policy and procedural updates across KYC teams for calibration purposes (Accredited Subject Matter Expert). This entails being up to date with policy and procedural changes and proactively highlights audit and compliance issues to the management team.
- Escalates production quality issues to Subject Matter Experts, Team Leaders, Policy Implementation Lead and Quality Assurance (QA) team and recommends and implements quality improvement actions.
- Ensures Anti-Money Laundering regulations and HSBC policies and procedures are fully complied with.
- Attends to queries regarding audit findings from internal stakeholders such as Business Risk and Control Management.

### KYC Analyst – Risk Analysis Unit (Overseas Short Term Assignment)

November – December 2015, HSBC Bank Australia Pty Ltd

- Spearheaded the migration of Australia KYC process in the Philippines.
- Supported risk analysis unit in completing FIG/Corporate periodic reviews, remediations and onboarding cases.
- Assisted Risk Analysis Unit head in ensuring that KYC profiles are completed in a timely manner.
- Conducted policy gaps between Australia's AML policies within the group's global standard policies.
- Provided training assistance to onshore colleagues for any procedural gaps, policy cascades and systems upgrades.
- Played a vital role in training new joiners and mentored new production quality controllers both in onshore and in offshore.
- Empowered to perform the function of a Subject Matter Expert.

### KYC Analyst - KYCs (Know Your Customer Services) Department

October 2013 – May 2014, HSBC Electronic Data Processing (Philippines), Inc.  
6th floor, Filinvest One Building, Northgate Cyberzone, Alabang, Muntinlupa City

- Provides timely, high quality and flexible KYC and client identification for institutional clients.
- Ensures HSBC is compliant with all relevant Anti-Money Laundering regulation and Group policy by means of updating and reviewing KYC Profiles and undertaking due diligence.
- Undertakes review of extended due diligence to assess risk. Provides comment and escalate to Relationship Managers and Compliance for any Money Laundering/Terrorist Financing Issues.
- Supports KYC requirements for Global Banking and Markets for customers, across multiple business lines.

### Senior Research Analyst (Knowledge Services – Investment Banking)

August 2011 – August 2013, Integreon Managed Solutions Philippines, Inc.  
5th floor, 6750 Bldg. Ayala Ave, Makati City

- Workforce Monitoring and Quality Assurance: Task delegation, monitoring and assessing client deliverables.
- Provided accurate and relevant business and financial information to investment banking and professional services clients.
- Conducted research regarding Macroeconomic information (global scope), Equity Research and Credit Research reports for various macro, micro and niche industries (i.e. Chemical, Retail, Utilities or Banking) and looking for specific data (i.e. major players, market share, outlook, Sum of the parts valuation, Merger and Acquisition details, etc.), Recent Industry Transactions, League and Volume tables from financial databases.

## EXPERIENCES AND TRAININGS

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28 November 2016	Accredited, SME(Subject Matter Expert) – KYC Process
06-10 July 2015	Accredited, KYC Process Trainer for Financial Institution Groups and Corporates (Low, Medium, High and Special Category Clients)
09-10 October 2014	Train the Trainers – Soft Skills Training
July 2014	Accredited, Process Trainer for New Quality Assurance Analysts
April 2014	Yellow Belt Six Sigma
12 April 2011 – 25 May 2011	Internship - Development Bank of the Philippines (Treasury Department)

## **ACHIEVEMENTS/CERTIFICATIONS**

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June 2020	<b>Q2 Global Rewards and Recognition (RnR) Awardee</b>
13 April 2018	<b>HSBC Manila CEO Awardee – Outstanding performer</b>
January 2018	<b>Awardee, Top performer for Quality</b>
January, February and June 2017	<b>Awardee, Top performer for Productivity and Quality</b>
September 2016	<b>Awardee, Top Achiever for Productivity and Quality</b>
December 2015	<b>Efficiency Award – Short Term Assignment On-going</b>
March and May 2015	<b>Productivity and Efficiency Award (Production Quality Control Analyst Category) Top performer – Corporate High Risk and Special Category Clients</b>
28 March 2012	<b>Outstanding Practicum Student - College of Business Administration and Accountancy De La Salle University – Dasmariñas</b>
June 2012, February 2012 and May 2013	<b>Department Awardee</b> Superior Performance Award for Responsibility and Commitment (SPARC) Integreon Managed Solutions Philippines, Inc.
05 December 2011	<b>Career Service Professional Eligibility – Civil Service Commission, Phils.</b> Obtained a general weighted rating of 81.68 percent

## **ORGANIZATIONS INVOLVED**

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December 2011 – August 2013	<b>Project Head; Department Representative</b> Spread Magic through Initiative, Love and Enthusiasm (SMILE), Corporate Social Responsibility Organization Integreon Managed Solutions Philippines, Inc.
Academic Year 2010 – 2011	<b>General Secretary - Junior Financial Executive Institute of the Phils.</b> De La Salle University - Dasmariñas

## **SEMINARS ATTENDED**

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20 March 2014	<b>Money Wise: Understand your Financial Stability</b> HSBC Electronic Data Processing (Philippines), Inc.
29 January 2014	<b>Strengthening the Leader in You</b> HSBC Electronic Data Processing (Philippines), Inc.

## **EDUCATIONAL BACKGROUND**

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Academic Year 2007 – 2011 <i>Tertiary Education</i>	<b>De La Salle University – Dasmariñas (Second Honor, Dean’s Lister)</b> Bachelor of Science in Business Administration major in Management Accounting
Academic Year 2003 - 2007 <i>Secondary Education</i>	<b>Blessed Trinity School of Las Piñas (Representative, Student Government Organization)</b> Silver corner Silicon Road, Pilar Village, Las Piñas City

## **CHARACTER REFERENCES**

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*Available upon request*