

Position Vacant	Sr. Manager- Compliance
Job Description / Responsibilities	<p>Submission of Monthly/ Quarterly/half-yearly and Annual regulatory returns to exchange(s) and to handle day-to-day Regulatory Compliance.</p> <p>Implementing various circulars issued by NSE/BSE/SEBI.</p> <p>To handle regulatory Inspections and To Handle Exchange(s) mandated Internal Audits and various other Internal audits and to Co-coordinate with the exchange(s) for any compliance-related issues.</p> <p>To handle investor grievance cases directly received from Exchange(s) and preparing the draft reply and submitting the same to Exchanges.</p> <p>To handle compliance-related activities for Research Analyst and Investment Advisory and Depository Participant Businesses.</p> <p>Development as well as assessment of adequacy of policies and procedures and other documents governing business activities to ensure compliance with applicable business regulations.</p> <p>To support in AML/ Surveillance activities</p>
Job specific skills	<p>The incumbent is expected to have good knowledge and experience on regulations governing SEBI, Depositories, Stock exchanges etc. compliances.</p> <p>Should have good written and oral communication skills Ability to take initiatives and work with minimum supervision. Should be a self -starter and should have in depth knowledge of Stock Broking and regulations. Should be well organized with an eye for detail. Strong documentation and file management skills Excellent Knowledge of MS office</p>
Educational Qualification	Graduate / MBA or equivalent (+ LLB would be preferable)
Minimum Experience	Relevant prior experience of 5-7 years in Stock Broking/DP compliance is must. Knowledge of Research Regulations / Investment Advisory will be preferred.
CTC OFFERED	Compensation will not be a limiting factor for the right candidate and will discussed on a case by case basis.
Location of posting	<p>Mumbai</p> <p>The candidate may be deputed to work with the team(s) with the organization/ parent organization/ any subsidiary of the parent organization if and as deemed necessary.</p>
How to apply	<p>Applications should be submitted on our email careers@bobcaps.in</p> <p>Please mention "Application for the post of Compliance Sr.Manager" in the subject. Applications with any other subject will not be accepted.</p>
Email to be sent to	careers@bobcaps.in
Website	www.bobcaps.in
Contact Person	Ms. Trilby D'monte
Contact No.	022 61389300
Last Date for application	27 th September 2023