

Position Vacant	Sr. Manager - Compliance
Job Description / Responsibilities	<p>Submission of Weekly/Monthly/ Quarterly/half-yearly and Annual regulatory submissions to SEBI / exchange(s)/ Depositories and to handle day-to-day Regulatory Compliance.</p> <p>To track circulars / Notifications issued /received from Regulatory authorities (NSE/BSE/CDSL/NSDL/SEBI) with respect to implementation /adherence of said circulars as a part of action point monitoring as and when applicable and to maintain MIS of the same.</p> <p>To handle regulatory Inspections and To Handle Exchange(s) mandated Internal Audits, Depositories mandated Concurrent and Internal Audit and various other Internal audits and to Co-ordinate with the exchange(s)/depositories/SEBI for any compliance-related issues.</p> <p>To handle investor grievance cases directly received from Exchange(s) / Depositories and preparing the draft reply and submitting the same to Exchanges / Depositories. Follow up with Exchanges / Depositories for quick closure of complaints</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>Ensuring closing of AML/ Surveillance alerts and to develop a framework of Process Reviews from a compliance perspective of various activities.</p>
Job specific skills	<p>Should have good written and oral communication skills</p> <p>Ability to take initiatives and work with minimum supervision.</p> <p>Should be a self -starter and should have in depth knowledge of Stock Broking and regulations.</p> <p>Should be well organized with an eye for detail. Strong documentation and file management skills</p> <p>Excellent Knowledge of MS office</p>
Educational Qualification	Graduate / MBA or equivalent (+ LLB would be preferable)
Minimum Experience	Relevant prior experience of 7/10 years in Stock Broking/DP compliance is must. Knowledge of Research Regulations / Investment Advisory will be preferred. NISM certification VI/VII/IIIA required.
CTC OFFERED	Compensation will not be a limiting factor for the right candidate and will be discussed on a case by case basis.
Location of posting	<p><b>Mumbai</b></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	Applications should be submitted on our email careers@bobcaps.in Please mention " <b>Application for the post of Compliance - Manager / Sr.Manager</b> " in the subject. Applications with any other subject will not be accepted.
Email to be sent to	<a href="mailto:careers@bobcaps.in">careers@bobcaps.in</a>
Website	<a href="http://www.bobcaps.in">www.bobcaps.in</a>
Contact Person	Ms. Trilby D'monte
Contact No.	022 61389300
Last Date for application	15 <sup>th</sup> April 2024

