

Company	Centrum Broking Limited
Title	Compliance Officer
Experience	5 - 6 yrs
Educational qualification	B.Com / MBA
Key Responsibility Areas (indicative)	Dissemination of Circulars issued by NSE/BSE/SEBI/CDSL
	Submission of details with NSE/BSE/CDSL/MSEI on Monthly, Quarterly, Half-yearly & Yearly basis
	Submission of details to NSE/BSE/CDSL/MSEI w.r.t change in member details
	Reporting of Monthly MIS w.r.t compliance Regulatory filing to Senior Management
	Collation of data / list of requirements pertaining to Regulatory inspection and NSE/BSE Internal Audits as well as follow up with respective teams for timely collection of data.
	Assist the auditors/regulators on Audit / Inspection on additional data requirements
	Tracking of surveillance alerts received from NSE/BSE at Member portal for necessary action
	Monitor and disseminate investor grievance/compliance email id on daily basis and discuss the actionable emails with team lead
	Review of voice recordings of dealers and provide monthly report on the same
	Any other responsibility/task assigned by the team lead or department head.
Location	Mumbai - Kalina
Email id	Namrata.jashnani@centrum.co.in
Requisites	Having good working knowledge of the Capital Markets (Institutional and Retail Broking) in the areas of Regulatory compliance
	Working knowledge of Depository Participant/Portfolio Management Services/Advisory and Research regulations.
	Knowledge of Prevention of Money Laundering Act- in the areas of Client Due Diligence and Enhanced Due diligence in co-ordination with KYC/DP Operations team and ensuring timely generation of alerts and proper closing of those alerts with the help of seniors in compliance/management.
	Having an experience of handling in house Surveillance alert software like Trackwizz etc.