

Position Vacant	Compliance Officer
<p>Job Description / Responsibilities</p>	<p>To Ensure compliance of regulatory directives given by regulatory bodies, including SEBI and stock exchange, in letter as well as in spirit, and in a time-bound and sustainable manner.</p> <p>Providing opinions on applicability and interpretation of various rules and regulations touching the Organisation's business matters, including the SEBI Regulations etc</p> <p>Assist the Board and senior management in overseeing implementation of compliance policies and procedures, prescriptions in compliance manuals, and internal codes of conduct.</p> <p>Preparation of policies and internal documents which are necessary from regulatory perspective</p> <p>Conduct test-checks and Identify compliance risks for the organisation by analysing existing / new products. practices and processes</p> <p>Appraise the management of any compliance issues, if any, along with suggested improvement measures to be implemented.</p> <p>Attend to compliance with directions from other regulators in cases where the activities of the entity are not limited to the regulation/supervision of SEBI</p> <p>Be the nodal point of contact between the organization & regulators, supervisors and shall be a participant in discussions held with SEBI and/or BSE/NSE & Depositories</p> <p>Communicate compliance to regulatory bodies with regards to their inspection reports.</p>
<p>Job specific skills</p>	<p>The incumbent is expected to have good knowledge and experience on regulations governing Depositories, SEBI, AMFI, BSE, NSE etc. compliances</p> <p>Familiar with circulars of NSE, BSE, CDSL, NSDL, SEBI (Research Analyst) Regulations and SEBI (Investment Advisers) Regulations and any other regulations related to securities market</p> <p>Knowledge of AML guidelines affecting Stock Broking and Depository Participant business</p>

	Good communication skills, with experience of dealing with senior executives/Regulators including the capacity to articulate the case of regulatory compliances.
Educational Qualification	ACS / ACA / MBA or equivalent (+ LLB would be preferable) NISM Certification and any other Compliance related certification is a must
Minimum Experience	10+ years (post qualification experience)
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	Mumbai 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.
How to apply	Applications should be submitted on our email careers@bobcaps.in Please mention “ Application for the post of Compliance Officer ” in the subject. Applications with any other subject will not be accepted.
Website	www.bobcaps.in
Contact Person	Trilby D’monte
Contact No.	022-61389300
Last Date for application	27 th September 2023 by email on the above email id