

Company	Centrum Broking Limited (Institutional)
Years of Experience	Minimum 2
Educational qualification	Graduate/MBA
Roles and Responsibilities (Indicative)	<ul style="list-style-type: none"> - Managing end-to-end compliance and surveillance function related to stock broking business, merchant banking business
	<ul style="list-style-type: none"> - Drafting, reviewing, and negotiating a wide range of legal and regulatory documents, agreements, and internal policies
	<ul style="list-style-type: none"> - Preparing and submitting periodic reports to regulatory bodies, stock exchanges, and internal stakeholders, while maintaining effective communication and correspondence
	<ul style="list-style-type: none"> - Engaging and liaising with regulatory authorities such as SEBI, stock exchanges, and other relevant entities to address compliance-related matters
	<ul style="list-style-type: none"> - Coordinating with internal auditors, cybersecurity/system auditors, SEBI officials, and stock exchange inspection teams during audits and inspections
	<ul style="list-style-type: none"> - Circular Tracking and conducting discussion with seniors and other departments.
	<ul style="list-style-type: none"> - Develop and Maintaining Compliance Calendar that tracks all regulatory reporting deadlines (annual, quarterly, monthly, and weekly)
	<ul style="list-style-type: none"> - Ensuring daily reporting of regulatory reports such as Collateral Segregation, Holding Submission, BOD and EOD Allocation to NSCCL, Margin Trading Reporting.
	<ul style="list-style-type: none"> - Ensuring timely reporting of regulatory submissions such as Internal Audit, System & Cyber Audit, Annual Returns, Net worth Submission, Surveillance Obligation Submission, RBS. Analysis of Exchange Surveillance alerts etc.
	<ul style="list-style-type: none"> - Activation/Modification/De-activation of NEAT/NON-NEAT and CTCL terminals.
	<ul style="list-style-type: none"> - Handling Offsite Exchange Inspections.
	<ul style="list-style-type: none"> - Handling of approval process wrt new trading software.
Job location	Kalina, Mumbai (Work from Office)
Send your resume on	careers@centrum.co.in