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| <b>Company</b>                                 | Centrum Group subsidiary   |
| <b>Division</b>                                | Compliance   |
| <b>Designation / Title</b>                     | Assistant Vice President/Vice President – Compliance   |
| <b>Years of Experience</b>                     | 10+ in BFSI/ Leading Securities Law Firm   |
| <b>Educational Qualification</b>               | LLB / CS   |
| <b>Roles and responsibilities (Indicative)</b> | <ul style="list-style-type: none"> <li>• Implement effective compliance standards for identifying, preventing, and minimise compliance risks affecting the business, clients, and assets.</li> <li>• Provide guidance to the businesses on applicability of various regulations issued by SEBI, AMFI, IRDA, RBI - FEMA &amp; Cross Border, NHB.</li> <li>• Ensuring timely filing with regulators thereby minimizing regulatory compliance risk.</li> <li>• Carrying out day to day compliance activities including regulatory liaison, audit support, maintenance of compliance registers, client on boarding/due diligence, financial promotion approvals, product approvals etc.</li> <li>• Identify potential breaches against regulations and /or internal policies and liaise with other control departments (e.g. Legal, Risk Management, Secretarial, and/or Human Resources) to initiate preventive/corrective compliance actions</li> <li>• Co-ordinating with the Business, Secretarial, Legal, HR &amp; Risk teams of Group entities.</li> </ul> |
| <b>Job location</b>                            | Kalina, Mumbai (Work from Office)  |
| <b>Prerequisites</b>                           | <ul style="list-style-type: none"> <li>• Solution-oriented. Do it the right way within the stipulated timeline</li> <li>• Excellent written &amp; verbal communication, effective in dealing with Business &amp; Functional Heads/peers, good interpersonal analytical skills. High standards of ethics &amp; client focus</li> <li>• Solution oriented, decisive, facilitate business in the right way, ability to communicate unpopular opinions/decisions and to stay firm under pressure.</li> <li>• Good rapport with the industry peers; have effective regulatory outreach, Team player, multi task, quick learner &amp; ability to work independently.</li> </ul>  |
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