



PNB Investment Services Limited (PNBISL), incorporated on 2nd of February 2009, is a 100% subsidiary of Punjab National Bank. PNBISL is registered with SEBI as a Category- I Merchant Banker to handle all major Merchant Banking Services to Corporate, Institutional and Individual clients. PNBISL derives strength from Punjab National Bank which is one of the largest Nationalized Bank in the country with Pan-India network.

**We have requirement of Compliance officer in Merchant Banking division for our Mumbai office location. Below is job description related to same.**

#### **MERCHANT BANKING- COMPLIANCE OFFICER- JOB DESCRIPTION**

**To monitor the business to ensure it is operating according to applicable -:**

1. regulatory requirements, (SEBI Regulations, DIP Guidelines, Companies Act etc.)
2. Internal policies and Standard Operating Processes
3. Providing regulatory advice and guidance regarding regulations and internal policies
4. Works closely with DCM team to provide analysis and a resolution on compliance matters
5. Tracks/documents compliance projects, registration requirements and compliance affirmations

#### **Reporting**

1. Preparing and maintaining a robust reporting and monitoring framework in line with external (SEBI, RBI etc.) and internal requirements
2. Reporting non-compliance issues to management & risk committees
3. Directing / Escalating compliance issues to appropriate resources for investigation

#### **Liaisoning & Networking**

1. Networking with other compliance officers in the industry in order to stay current with regulatory issues and leading practices.
2. Build a strong rapport with SEBI and other governing bodies including active engagement for requisite clarifications and approvals from time to time
3. Conducts on-going surveillance, reviews and testing and maintains proper documentation of all reviews
4. Conducts/Coordinates internal and external (SEBI) audits, including follow-up actions
5. Assists with the coordination of inspections with various government and regulatory organizations
6. Researches and responds to regulatory inquiries, as necessary

**Formulating/Updation of Internal policies**

1. Identify possible areas of compliance risk and develop action plans for resolution
2. Drafting and implementing new policies and procedures and update existing policies and procedures
3. Providing advice on new business and product proposals (CTR) to identify and address compliance and regulatory risk

**Training & Development**

1. To develop and deliver training programs to increase understanding of regulatory requirements, compliance policies and ethical conduct within business lines
2. Ensuring active involvement of DCM in the development and maintenance of comprehensive written supervisory procedures by providing guidance

**Education Qualification:**

MBA / CA/CS/LLB - Minimum of 8+ years' experience in compliance & operations