Job Opportunity – Manager-Compliance Advisory & Internal Audit

Sanjay Shah & Co LLP

1. Name of the Position

Manager- Compliance Advisory & Internal Audit

2. Job Description

The firm is looking for a motivated and responsible professional to manage teams, oversee audit assignments, and assist the Partner and senior team members in handling capital market-related audits and regulatory compliance assignments.

Key responsibilities include:

- Supervising and managing the team to ensure the timely and efficient completion of assignments.
- Assisting the Partner and senior team members in planning, executing, and reviewing audit and compliance assignments.
- Managing internal, concurrent, and surveillance audits of entities operating in the capital markets.
- Handling assignments relating to Portfolio Management Services (PMS), Alternative Investment Funds (AIFs), Investment Advisers, Research Analysts, Merchant Bankers, Stock Brokers, Depository Participants, and Mutual Fund Distributors.
- Reviewing audit working papers, identifying discrepancies, and ensuring proper documentation of audit observations.
- Monitoring compliance with applicable SEBI regulations, circulars, guidelines, and requirements prescribed by stock exchanges and depositories.
- Assisting in the preparation and review of policies, Standard Operating Procedures (SOPs), and compliance-related documents.
- Keeping the team updated on important regulatory developments and ensuring the timely dissemination of relevant circulars and guidelines.
- Coordinating with clients for information, documentation, audit queries, and resolution of observations.
- Supporting the delivery of client training and awareness sessions on regulatory and compliance-related matters.

3. Eligibility Criteria

- CMA-qualified candidates.
- Prior experience in capital market-related audits and regulatory compliance will be preferred.

- Good understanding of SEBI regulations and the compliance framework applicable to capital market intermediaries will be an added advantage.
- Ability to supervise teams, manage multiple assignments, and ensure timely completion of work.
- Good communication, coordination, analytical, and problem-solving skills.
- Proficiency in MS Excel and other MS Office applications.
- A responsible and proactive approach towards work, with attention to detail and a willingness to learn.

4. CTC (Per Annum)

Up to ₹6,00,000 per annum, depending on the candidate's qualifications and experience.

5. Job Location

Malad West, Mumbai.

6. Number of Vacancies

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