

## **JD –Compliance Officer (Mutual Fund)**

Are you ready to grow and be part of a dynamic asset management company and part of its Compliance team as “**Compliance Officer**” ?

### **About Carnelian:**

We are a fast-growing Asset Management firm headquartered in Mumbai having multiple offices in the country and managing over USD 1 bn in assets across several PMS & AIFs with presence in over 7 cities and in the process of seeking Mutual Fund presence too. Our head office is at Lower Parel, Mumbai. We are urgently looking for a self-driven & ambitious person to take care of compliance function of the proposed mutual fund being setup at Mumbai.

### **Key Responsibilities:**

- Establish, lead, and continuously strengthen the compliance framework for the mutual fund business in alignment with SEBI and other applicable regulatory guidelines.
- Oversee preparation, review, and submission of all regulatory filings, reports, disclosures, and communications for final approval from SEBI and thereafter submission of all regulatory filings, reports, disclosures, and communications with SEBI and AMFI from time to time.
- Built & led a strong compliance team in line with the business growth and serve as the primary point of contact for regulatory inspections, audits, and reviews, ensuring timely and accurate responses.
- Formulate, implement, and periodically update written internal compliance policies, system procedures, and monitoring mechanisms.
- Work with all related departments to ensure best client experience for implementing innovating system & processes.
- Conduct regular compliance risk assessments, internal audits, compliance training programs and ensure robust & effective risk mitigation strategies apart from enhance organizational awareness and adherence to regulatory norms.
- Review and approve marketing materials, product notes, investor communications, and client-facing documents from a regulatory standpoint.
- Advise the CEO, Board, and senior management on regulatory developments, compliance risks, and their business implications.
- Foster strong relationships with regulatory bodies, industry associations, legal advisors, and internal stakeholders.

### **Qualifications & Experience:**

- Graduate in Law, Commerce, or Finance. Professional qualifications such as CS, LLB, CA..

- Minimum 15 years of experience in compliance, legal, or risk management functions, with significant exposure to mutual fund or asset management industry.
- Deep understanding of Mutual Fund's system and process across departments
- In-depth knowledge of SEBI (Mutual Funds) Regulations, AMFI guidelines, and other applicable regulatory frameworks.
- Proven track record of managing regulatory inspections and dealing with regulatory officials.
- Excellent analytical, communication, drafting and decision-making abilities.

Reporting To: CEO/Board

Industry: Asset Management

Are you ready to make a difference?

Send your CV to "[career@carnelianmf.co.in](mailto:career@carnelianmf.co.in)" and join the Carnelian family.