

Company Secretary and Compliance Officer

Position Summary:

The Company Secretary and Compliance Officer for a mutual fund is responsible for ensuring the organization operates transparently, ethically, and within the regulatory frameworks set by governing bodies (e.g., SEC, SEBI, or other local regulators). This role oversees corporate governance, compliance programs, and risk management, acting as the primary liaison between the fund, its stakeholders, and regulatory authorities. The officer collaborates with internal teams to foster a culture of compliance, ethics, and operational integrity.

Key Responsibilities:

Regulatory Compliance and Governance:

- Ensure adherence to all applicable laws, regulations, and guidelines set by regulatory bodies.
- Advise the board of directors on regulatory standards, fiduciary responsibilities, and governance practices.
- Organize and coordinate board, committee, and shareholder meetings, including drafting agendas, notices, and minutes.
- Maintain statutory registers, records, and documentation as required under applicable laws.
- Establish policies addressing risks related to AML (Anti-Money Laundering), KYC (Know Your Customer), and fiduciary obligations.

Monitoring and Reporting:

- Oversee trading activities, disclosures, and portfolio management to ensure compliance with investment guidelines.
- Investigate breaches, prepare reports, and recommend corrective actions.
- Training and Stakeholder Communication:
- Provide training on compliance, corporate governance, and ethical standards.
- Communicate regulatory changes and compliance updates across the organization.
- Act as a contact for shareholders, regulators, and other stakeholders on governance and compliance matters.

Legal and Risk Management:

- Draft, review, and manage legal documents, agreements, and resolutions.
- Assist in managing investor grievances and ensuring compliance with applicable redressal mechanisms.
- Support risk management efforts in identifying and mitigating governance-related risks.

Qualifications and Skills:

Education and Certification:

- Bachelor's degree in Law, Commerce, Finance, or Business Administration (Master's or MBA preferred).
- Qualified Company Secretary (CS) certification or equivalent certifications (e.g., ICA, CAMS).

Experience:

- 8–12+ years of experience in compliance, corporate secretarial, legal, or governance roles, preferably in the mutual fund or financial services industry.

- Proven expertise in handling board processes, regulatory filings, and risk management.

Core Competencies:

- Strong understanding of mutual fund regulations, securities laws, and financial industry standards.
- In-depth knowledge of corporate law, governance frameworks, and compliance management.
- Excellent analytical, communication, and decision-making skills.
- Proficiency in using compliance and governance tools.

Key Performance Indicators (KPIs):

- Timeliness and accuracy of regulatory filings, board documentation, and statutory records.
- Effectiveness of compliance programs and governance frameworks.
- Number and resolution of compliance breaches or audit findings.
- Employee awareness and adherence to compliance policies.
- Feedback from the board, regulators, and stakeholders on governance practices.