

## Job Description of Various Roles

Various positions are as follow:-

1. Financial Analyst
2. Stock Broking Operations – Manager
3. Depository Participant
4. Human Resources
5. IT-Executive
6. It-Software Developer
7. Back Office Operations Executive
8. Accountant

The Job description of all aforementioned roles is as follows:-

### **a) Financial Analyst –**

#### **Roles and Responsibilities**

##### **□ Market Analysis:**

- Conduct detailed analysis of commodities markets to identify trends and potential investment opportunities.
- Use technical and fundamental analysis to predict price movements.
- Monitor economic indicators, geopolitical events, and other factors that influence commodity prices.

##### **□ Research and Reporting:**

- Prepare comprehensive reports on market trends, price forecasts, and investment recommendations.
- Keep up-to-date with market news and developments.
- Present findings and recommendations to clients or senior management.

##### **□ Trading and Investment Strategies:**

- Develop and implement trading strategies based on market analysis.
- Execute trades on behalf of clients or the firm.
- Manage and optimize commodity portfolios to maximize returns and minimize risks.

##### **□ Risk Management:**

- Identify and assess risks associated with commodity trading.
- Implement risk mitigation strategies, including the use of hedging techniques.
- Monitor and adjust strategies to manage exposure to market volatility.

##### **□ Client Interaction:**

- Advise clients on commodity investments and trading strategies.
- Provide regular updates and insights to clients on market conditions and investment performance.
- Build and maintain strong relationships with clients.

##### **□ Compliance and Regulations:**

- Ensure all trading activities comply with regulatory requirements and internal policies.
- Stay informed about changes in regulations and adjust strategies accordingly.
- Maintain accurate and thorough records of all trading activities and transactions.

**Here are some common requirements typically observed:**

**Experience:**

1. **The incumbent must carry 2-3 years of experience.**

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**b) Stock Broking Operations-**

**Roles and Responsibilities**

The role of a Security Brokerage Operations Manager involves overseeing the operational aspects of a brokerage firm to ensure efficient and compliant securities trading and investment processes. Here are the key responsibilities associated with this role:

1. **Team Management:** Responsible for leading and supervising a team of operations staff, including trade support specialists, settlement clerks, and compliance officers. Provide guidance, training, and support to ensure the team operates effectively and achieves performance objectives.
2. **Process Improvement:** Continuously review and optimize operational workflows and procedures to enhance efficiency, reduce costs, and mitigate operational risks. Identify areas for improvement, implement process enhancements, and leverage technology solutions to streamline operations.
3. **Trade Processing and Settlement:** Oversee trade processing activities, including order validation, trade execution, and settlement. Ensure trades are executed accurately and in compliance with regulatory requirements, and monitor the settlement process to minimize settlement failures and risks.
4. **Risk Management:** Assess operational risks associated with trading activities and develop risk management strategies to mitigate potential losses. Implement controls, procedures, and monitoring mechanisms to safeguard against operational, financial, and regulatory risks.
5. **Regulatory Compliance:** Operations managers ensure compliance with relevant laws, regulations, and industry standards governing securities trading and brokerage operations. They stay updated on regulatory changes, implement compliance policies and procedures, and oversee regulatory reporting requirements.
6. **Client On boarding and Account Maintenance:** Oversee the client on boarding process, including account opening, documentation review, and client due diligence. Ensure compliance with Know Your Customer (KYC) and Anti-Money Laundering (AML) regulations and maintain accurate client records.
7. **Technology and Systems Management:** Oversee the implementation and maintenance of trading platforms, back-office systems, and technology infrastructure to support brokerage operations. Collaborate with IT teams and vendors to ensure systems are reliable, secure, and scalable to meet business needs.

8. **Vendor Management:** Manage relationships with external service providers, such as clearinghouses, custodians, and technology vendors. Negotiate contracts, monitor service level agreements, and ensure vendors deliver quality services that meet the firm's requirements.
9. **Financial Reconciliation and Reporting:** Oversee financial reconciliation processes, including cash management, trade reconciliation, and regulatory reporting. Ensure accurate and timely reporting of financial transactions, positions, and balances to internal stakeholders and regulatory authorities.
10. **Business Continuity Planning:** Develop and implement business continuity and disaster recovery plans to ensure uninterrupted operations in the event of unforeseen disruptions or emergencies. Conduct regular testing and training exercises to prepare staff for potential crises.

**Certification:** NISM Series-VII-Stock Operations and Risk Management

**Experience:** 2-3 Years

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### **c) Depository participant-**

#### **Account Opening:**

1. Facilitate the opening of Demat accounts for investors.
2. Collect the necessary documentation and information from investors to open these accounts.

#### **Dematerialization:**

1. Convert physical share certificates into electronic or dematerialized form.
2. Receiving physical certificates from investors and converting them into electronic form, thereby facilitating easy trading and transfer of securities.

#### **Rematerialization :**

1. Facilitate the conversion of electronic securities into physical form when required by the investor.

#### **Documentation:**

1. Require to submit various documents as part of the registration process, including a business plan, organizational structure, compliance manuals, and other relevant documents.

#### **Safekeeping of Securities:**

- 1 Responsible for the safekeeping of securities held in Demat accounts.
- 2 Maintain electronic records of securities held by investors, ensuring the integrity and security of these holdings.

#### **Settlement of Trades:**

- 1 Play a crucial role in the settlement of trades executed on stock exchanges.
- 2 They facilitate the transfer of securities between buyers and sellers during the settlement process.

### Corporate Actions:

- 1 Handle various corporate actions on behalf of investors, such as dividend payments, bonus issues, rights issues, and other corporate events.
- 2 Ensure that investors receive their entitlements in a timely manner.

### Investor Services:

- 1 Provide various investor services, including account statements, transaction statements, holding statements, and other relevant information.
- 2 They also assist investors with queries and grievances related to their demat accounts.

### KYC Compliance:

- 1 Responsible for ensuring Know Your Customer (KYC) compliance for all demat account holders.
- 2 Collect and verify KYC documents as per regulatory requirements.

### Reporting to Depositories:

- 1 Report transactions and account details to the respective securities depositories regularly.
- 2 This ensures proper record-keeping and regulatory compliance.

### Pledge and Hypothecation of Assets:

- 1 A depository participant is responsible for the hypothecation of securities.

### Here are some common requirements typically observed:

#### Experience:

- 1 The incumbent must carry 2-5 years of experience in the securities industry as Broker, custodian or other financial intermediary.
- 2 Familiarity with DP secure back office Software, including Payin/Payout of Securities.
- 3 Handling CDAS system, DP billing, BO updates independently.
- 4 Resolve queries raised by the RM/ AP/ RMS/ Clients.

### Certification

#### NISM Series VI-Depository Operations

#### Key Skills:

1. Regulatory Compliance
  2. Knowledge of Securities
  3. Technology Proficiency
  4. Risk Management
  5. Customer Service
  6. Attention to Detail
  7. Communication Skills
  8. Problem-Solving
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## **d) Human Resources-**

- 1. Recruitment and Onboarding:**
  - a. Assist in recruiting processes such as job postings, screening resumes, scheduling interviews, and conducting initial interviews.
  - b. Coordinate and facilitate the onboarding process for new hires, including paperwork, orientation programs, and introductions to company policies.
- 2. Employee Relations:**
  - a. Address employee queries regarding HR-related issues such as benefits, policies, and procedures.
  - b. Help resolve minor employee conflicts or issues, escalating more complex matters to HR managers or executives.
- 3. HR Administration:**
  - a. Maintain employee records and ensure all documentation is accurate and up-to-date.
  - b. Assist in HR projects such as performance management, employee engagement surveys, and training programs.
- 4. Compliance and Legal:**
  - a. Assist in ensuring compliance with labor laws and other regulations.
  - b. Help administer employee benefit programs and support in managing benefits enrollment and changes.
- 5. Data Management and Reporting:**
  - a. Compile HR metrics and reports as needed, including turnover rates, recruitment statistics, and other HR analytics.
  - b. Assist in maintaining HRIS (Human Resource Information System) data integrity.
- 6. Strategic HR Planning:**
  - a. Develop and implement HR strategies aligned with the organization's goals and objectives.
  - b. Collaborate with senior management to understand business strategy and translate it into HR initiatives.
- 7. Talent Management:**
  - a. Oversee the full cycle of talent management, including workforce planning, recruitment, retention, and succession planning.
  - b. Develop and implement strategies to attract and retain high-quality talent.
- 8. Employee Development:**
  - a. Design and oversee employee development programs, training initiatives, and performance management systems.
  - b. Mentor and coach HR staff and managers on effective people management practices.
- 9. Employee Relations and Compliance:**
  - a. Handle complex employee relations issues, including investigations and resolutions of grievances.
  - b. Ensure compliance with labor laws, regulations, and internal policies.
- 10. Organizational Development:**
  - a. Lead organizational change initiatives and culture-building efforts.
  - b. Implement initiatives to enhance employee engagement, satisfaction, and productivity.
- 11. Executive Support:**
  - a. Provide strategic advice and support to senior management on HR-related matters.
  - b. Participate in executive meetings and contribute to decision-making processes.

**Here are some common requirements typically observed:**

### **Experience:**

- 5 The incumbent must carry 2-3 years of experience.
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## e) IT-Executive

### Roles and Responsibilities

1. **Network Management**: Setting up, maintaining, and troubleshooting the organization's computer networks, including LANs, WANs, intranets, and internet connections.
2. **System Administration**: Managing servers (window server- 2022, 2019, 2012, 2016,File Server-Z Drive and LINUX) Installing, configuring, and maintaining software applications and hardware devices, including desktops, laptops, printers, and other peripherals.
3. **User Support**: Providing technical support to end-users, troubleshooting hardware and software issues, and assisting with IT-related inquiries. Must be aware of taking remote access using Any desk, VNC & RDP.
4. **Data Backup and Recovery**: Implementing and managing data backup solutions to ensure data integrity and implementing disaster recovery plans to minimize downtime in case of system failures.
5. **IT Asset Management**: Tracking and managing IT assets, including hardware, software licenses, and other resources, to optimize utilization and budgeting.
6. **Well Versed with Operating systems, Firewalls(Policy Management), Routers**
7. **Aware of the functionalities of Active Directory**: Authentication, Authorization, Single Sign on (SSO), Group policy, directory replication, LDAP Support
8. Have basic understanding of different types of Topology, OSI Layers (Physical, Data Link, Network, Transport, Session, Presentation, and Application), Hub & Switches, and MySQL.
9. **Security Management**: Implementing and maintaining security measures to protect the organization's computer systems, networks, and data from cyber threats.
10. **Patch Management**: Ensuring that all systems and software are up to date with the latest patches and updates to protect against security vulnerabilities.
11. **Emergency Response**: Responding to IT emergencies, such as system outages, security breaches, or data loss incidents, to minimize disruption and restore normal operations as quickly as possible.
12. **Stay Updated**: Keeping abreast of technological advancements, industry trends, and best practices in IT to continuously improve IT infrastructure and services.

**Certification**: Cisco Certified Network Associate (CCNA), Red Hat Certified System Administrator (RHCSA), Red Hat Certified Engineer (RHCE), CompTIA Server+, CompTIA Security+, Microsoft Certified: Azure Administrator Associate

**Experience**: 2-3 Years

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## f) IT-Software Developer

### Roles and Responsibilities

1. Design, develop, and test software applications according to specifications.
2. Write clean, scalable, and efficient code using [programming languages/technologies].
3. Collaborate with cross-functional teams to define, design, and ship new features.
4. Troubleshoot and debug applications to optimize performance.
5. Participate in code reviews and provide constructive feedback.
6. Stay up-to-date with emerging technologies and industry trends.

7. Contribute to the continuous improvement of development processes and methodologies.

**Here are some common requirements typically observed:**

**Experience:**

2. The incumbent must carry 2-3 years of experience.

**Preferred Qualifications:**

1. Experience with cloud platforms (e.g., AWS, Azure, Google Cloud).
2. Knowledge of DevOps practices and tools (e.g., Docker, Jenkins, Kubernetes).
3. Experience with Agile/Scrum development methodologies.
4. Familiarity with micro services architecture.

**Requirements:**

1. Bachelor's degree in Computer Science, Software Engineering, or a related field.
  2. Proven experience as a Software Developer, Software Engineer, or similar role.
  3. Proficiency in [programming languages such as Java, Python, C++, JavaScript, etc.].
  4. Experience with [frameworks and tools, e.g., Angular, React, Node.js, Django, etc.].
  5. Strong understanding of software development principles, algorithms, and data structures.
  6. Experience with database management systems (e.g., SQL, NoSQL).
  7. Familiarity with version control systems (e.g., Git).
  8. Excellent problem-solving skills and attention to detail.
  9. Strong communication and teamwork abilities.
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**g) Back Office Operations-executive**

**Roles and Responsibilities**

1. **Trade Settlement:** Processing and settling trades executed by the front office. This involves confirming trade details, ensuring compliance with regulations, and facilitating the transfer of securities and funds.
2. **Record Keeping:** Maintaining accurate records of trades, transactions, and client accounts. This includes updating databases, reconciling discrepancies, and generating reports for management and regulatory purposes.
3. **Confirmation and Reconciliation:** Confirming trade details with counterparties and reconciling trade discrepancies. This ensures accurate and timely settlement of trades and minimizes the risk of errors or disputes.
4. **Risk Management:** Monitoring and managing operational risks associated with trade processing and settlement. This involves identifying potential risks, implementing controls and procedures to mitigate them, and escalating issues as necessary.
5. **Client Services:** Providing support to clients regarding trade inquiries, account statements, and other administrative matters. Back office operators serve as a point of contact for clients and ensure their needs are addressed promptly and accurately.

6. **Regulatory Compliance:** Ensuring compliance with regulatory requirements and industry standards. Back office operators must stay updated on relevant regulations and implement policies and procedures to ensure adherence to compliance obligations.
7. **Corporate Actions Processing:** Handling corporate actions such as dividends, stock splits, and mergers. This involves communicating with relevant parties, updating client accounts, and ensuring accurate processing of corporate actions.
8. **Margin and Collateral Management:** Managing margin requirements and collateral for trading activities. This includes monitoring margin calls, valuing collateral, and ensuring compliance with margin regulations.
9. **Systems and Technology Support:** Utilizing trading systems and technology platforms to execute operational tasks efficiently. Back office operators may troubleshoot system issues, coordinate system upgrades, and provide training to staff on new technologies.
10. **Performance Reporting:** Generating performance reports and analysis for internal stakeholders and clients. This involves compiling data on trading activities, investment performance, and portfolio metrics to assess performance and support decision-making.

**Experience:** Minimum 1 Year

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## **h) Accountant**

### **Key Responsibilities:**

- **Financial Reporting:** Prepare and review financial statements, including balance sheets, income statements, and cash flow statements.
- **Auditing:** Conduct internal and external audits to ensure accuracy and compliance with financial regulations and standards.
- **Taxation:** Manage tax planning, compliance, and filing of returns, ensuring adherence to all tax laws and regulations.
- **Budgeting and Forecasting:** Develop, implement, and monitor budgets and financial forecasts to support business planning and decision-making.
- **Cost Management:** Analyze costs, identify cost-saving opportunities, and implement measures to improve financial efficiency.
- **Regulatory Compliance:** Ensure compliance with all financial regulations, including timely and accurate regulatory reporting.
- **Financial Advisory:** Provide strategic financial advice to management on business decisions, mergers and acquisitions, and investment opportunities.
- **System Implementation:** Assist with the implementation and optimization of financial information systems.
- **Training and Mentorship:** Mentor and train junior accountants and finance staff to enhance their skills and knowledge.

### **Qualifications:**

- **Education:** Bachelor's degree in Accounting, Finance, or a related field. A Master's degree is a plus.
- **Certification:** Must be a Chartered Accountant (CA) or equivalent (e.g., CPA, CFA, CMA).

**Experience:** Fresher or Experienced



**Good to Have:-** Qualified CA in minimum attempts

**Skills:**

- Proficiency in accounting software (e.g., QuickBooks, SAP, Oracle).
- Strong analytical and problem-solving skills.
- Excellent communication and interpersonal skills.
- Attention to detail and high level of accuracy.
- Ability to work independently and as part of a team.