

PUNJAB PENSION FUND

Job Title:	Compliance Officer
Responsible to:	Accounts, Audit / Compliance Sub-Committee
Qualification and Experience:	CA (Finalist) / ACMA (Finalist) with relevant 5 years of experience (minimum) in financial sector preferably in an Asset Management Company or an NBFC, who has performed in Compliance function.
Proficiency:	Must be proficient in compliance testing with knowledge of various applicable laws and regulations. Must have a sound understanding of investment related matters and portfolio theories along with good drafting skills.
Supervision:	None
Job Description:	<ul style="list-style-type: none">• Ensures that investments are made in compliance of following documents:<ul style="list-style-type: none">- The Punjab Pension Fund Act, 2007- The Punjab Pension Fund Rules, 2009- The Punjab General Provident Investment Fund Act, 2009- The Punjab General Provident Investment Fund Rules, 2010- Trust Deed(s)- Investment Policies- Any other regulation / policy adopted by the Fund• Monitors all compliance initiatives and policy waivers.• Prepares weekly, monthly and quarterly Compliance Reports.• Arranges Sub-Committee meetings and prepares minutes of such meetings.• Performs pre-trade Compliance tests w.r.t. all investments/divestments made by the Funds.• Prepares and maintains checklist of all investment criteria, exposure limits etc. to ensure effective compliance.• Monitors compliance with the best practices of good governance and identifies violations thereof.• Monitors compliance procedures and related activities on a continuing basis and takes appropriate steps to improve its effectiveness.• Ensures that proper record of all compliance function is maintained.• Ensures maintenance and updating of Compliance Policy and Manual as per changes in laws and regulations.• Follow-up on Compliance related audit/inspection observations and incidents for systemic corrections.• Performs any other work assigned by the General Manager / Sub-Committee / Management Committee.