

# Cochin Stock Brokers Limited

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Cochin Stock Brokers Limited [Requires Company Secretary and Compliance Officer](#)

- Company Secretary-should be an Associate / Fellow Member of Institute of Company Secretaries of India..Good English language skills will be an advantage
- Job responsibilities would include:
  - Comply with all applicable rules, regulations and acts including the Companies Act, 2013,
  - Timely filing and registering document including forms, returns and applications as per Companies Act, 2013
  - Maintenance of secretarial records, statutory books and registers
  - Arranging board/general meetings and preparing minutes thereof
  - All work related to shares and their dematerialisation, transfers and transmissions
  - Redressing queries of shareholders
  
- Compliance Officer - Graduate in Commerce having good English language skills, Job responsibilities would include:
  - ensure company's operations fully comply with all applicable rules, regulations and acts including the, SEBI Regulations, NSE and BSE
  - Handle inspections. conducted by Regulators, Exchanges & Depositories on annual basis.
  - Submit returns and information to Regulators, Exchanges & Depositories
  - Create sound internal controls and monitor adherence to them
  - Assisting Anti-Money Laundering Program and Prohibition of Insider Trading guidelines of the company
  - Obtain and maintain mandatory documents and reports as per KYC requirements from Trading/Clearing Members and Clients.
  - Creating, reviewing and following up on surveillance reports of financial and trading activity and risk management

- responsible for managing Compliance function & Investor Grievance
- Actively involve in the interpretation and end to end implementation of circulars and regulations issued by the exchanges & SEBI.

Please note, Cochin Stock Brokers Limited retains a very experienced firm that handles company matters since 2010. They will be in service for the next two more years at least. Further, we have concurrent auditors and a department for looking after the compliance issues related to SEBI/NSE/BSE. Considering these present arrangements this post will be an ideal opportunity for the candidates with qualification and initiative to learn and develop to a competent Company Secretary and Compliance officer.

Interested candidates may email their CV to [coselegal@gmail.com](mailto:coselegal@gmail.com)