
Roles and Responsibilities

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Chief Executive Officer

Description of Role & Responsibilities:

- Participate as a member of the Board providing advice and guidance to Board members as required in order to contribute to the effective governance of the organization
- Develop, obtain agreement to, implement, review and monitor the effectiveness of a long term corporate strategy and medium-term corporate plan that ensure the organization develops the infrastructure and assets to deliver the services and value that stakeholders require
- Lead, motivate, develop and control all staff to ensure that they have they have the necessary skills and motivation to deliver to agreed performance standards
- Ensure the development and ongoing maintenance of a comprehensive set of systems, policies, standards and procedures that ensures the organization can operate efficiently and effectively whilst remaining compliant with legislation
- Develop and maintain a range of effective relationships with all key stakeholders in order to acquire and sustain the support necessary to build the business and service over time
- Partner with high-level officers to grow the company, strengthen it and ensure its sustainability
- Represent the company as required, including attendance of important functions, industry events and public meetings
- Work closely with the CFO (Chief Financial Officer) to prepare annual budgets, complete risk analysis and advise the Board of Directors
- Work closely with Human Resources (HR) regarding hiring practices, payroll and benefit disbursement
- Oversee quality control throughout the AMC, establishing goals for each department in partnership with division managers
- The CEO shall be responsible for all the risks at both AMC and scheme level along with defining a risk appetite framework for schemes and AMC and appropriate risk metric for respective CXO, CIO, fund manager, etc.
- Ensure that the outcomes of risk management function are reported to CEO in timely manner.
- Define specific roles and responsibilities including CIO and CXOs regarding risk management.
- Approve the corrective action on various findings and report to the board of AMC and trustee regarding the same and escalate to board of AMCs and trustees, if required, any major findings being reported.
- Adherence to the SEBI guidelines in respect of RMF and relevant principles thereunder including risk identification, risk management, risk reporting (both periodic and escalation of material incident) and corrective actions taken, if any.

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Chief Investment Officer

Description of Role & Responsibilities:

- The CIO would be responsible for overseeing fixed income, equity and any other assets including portfolio selection, fund strategy, compliance and performance of the fund versus benchmarks and competitor funds as per the defined investment philosophy z
- Support formation of investment strategy pertaining to investments as per macro-economic conditions and other events. Conduct business development activities / road shows both onshore and offshore to meet with key institutional clients and as well distributors
- Devise various products and service offerings for various investor segments like retail, institutional, domestic and foreign investors and guide product team in generating new ideas to meet complex requirements of customers
- Ensure investments are in compliance with the organization's investment policies and various regulatory guidelines
- Ensure compliance of all SEBI investment limits across the various funds and evolve policies for ensuring full compliance
- Engage extensively with key clients, distributors and the regulators to ensure visibility and participation along with securing the companies interests
- Express views on the economy, markets and sectors in media, publications and other platforms.
- The CIO would be responsible for daily management of risk and necessary reporting relating to Investment risk of all scheme(s) such as Market Risk, Liquidity Risk etc. & other scheme specific risks.
- Adherence to risk appetite framework to maintain appropriate risk level for schemes.
- The CIO will define specific responsibility of Fund Managers and escalate corrective action taken, if any, to the CEO.
- Adherence to the SEBI guidelines in respect of RMF and relevant principles thereunder including risk identification, risk management, risk reporting (both periodic and escalation of material incident) and corrective actions taken, if any

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Chief Risk Officer

Description of Role & Responsibilities:

- The CRO would be responsible for identifying, analyzing and monitoring the risks.
- Ensure that there is an effective governance framework and reporting framework of risk management in line with the regulatory requirements.
- The CRO would be responsible for implementation of the Risk Management Framework across the organization.
- Review specific responsibility of management, including CEO, CIO, CXOs, and Fund Managers.
- Put in place mechanism for risk reporting at least on a quarterly basis to the board of AMC, trustees and RMCs, covering all risks including risk metrics, escalation of material risk related incidents, timely and corrective actions taken, if any.
- Independent assessment of reporting of risk to various committees and CEO, etc.
- Put in place mechanism for reporting to CEO - Including outcomes for risk management function on monthly basis.
- The reporting of risk as above is independent from the CIO and verified by the risk team.
- The CRO shall ensure that there is a DoP approved by the Board of AMC for risk management by CRO covering the following:
 - Daily risk management
 - Daily risk reporting
 - Corrective actions at the level of Fund manager, CIO and CEO.
- The CRO shall inform to board of AMCs, trustee and risk committees regarding any major findings or corrective actions required and also update on closure or the status of various recommendations.

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Chief Financial Officer

Description of Role & Responsibilities:

- Responsible for management, monitoring, control and reporting of risks related to finance and accounts, which includes financial accounting, financial reporting and treasury investment risks.
- Ensure adequacy and effectiveness of internal financial controls over financial reporting.
- Ensure adequate segregation of duties.
- Preparation and monitoring of budget for each function and companywide.
- Ensure adequate and timely disclosures as per regulatory and statutory requirements.
- Ensuring all the taxation and statutory and regulatory compliances on timely basis.
- Defining roles and responsibilities of team members and ensuring adequate training.
- Development, implementation and adherence of policies and procedures related to management of risks.
- Ensure adherence of requirements related to internal and statutory audits.
- Adherence to the SEBI guidelines in respect of RMF and relevant principles thereunder including risk identification, risk management, risk reporting (both periodic and escalation of material incident) and corrective actions taken, if any

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Fund Manager - Debt

Description of Role & Responsibilities:

- The Fund Manager - Debt would be responsible for day to day management of the funds pertaining to debt and liquid money market securities, which includes portfolio selection, analysis and strategy in order to optimize performance of the fund versus benchmark indices and competitor funds
- Ensure best execution of trades in the Fixed Income market based on research inputs, technical analysis and maintaining market network. Securities may include corporate bonds, government securities & money market instruments
- Develop and recommend trading strategies and exploring new investment opportunities in the dynamic market scenario to maximize yield on Fixed Income portfolio
- Track macro-economic data, sectors and events for taking call on interest rates, fiscal situation and currency and formulate guidelines on the impact of macroeconomic changes and policy on financial markets and interpreting the impact of policy changes / economic factors on output
- Evaluate performance of instruments based on a detailed analysis of factors such as risk, return etc.
- Carry out performance analysis and attribution of fund performance
- Develop & publish various MIS and reports
- Ensure investments are in compliance with the organization's investment policies and various regulatory guidelines
- Ensure compliance of all SEBI investment limits across the various funds
- Support in, formation of investment strategy pertaining to investments as per macro-economic conditions
- Interpret changes in the laws/regulations and strategize and evolve policies for ensuring full compliance
- Evaluate investment strategies, ROI / yields and portfolio composition, both of own company and competitors in order to package products
- Adherence to risk appetite framework to maintain appropriate risk level for schemes.
- Closely work with product development team for new fund ideas and providing various options for Domestic and Foreign investments. Provide updates on markets to sales and marketing division
- Guide team in selecting products to meet complex requirements of customers based on product analysis
- Adherence to the SEBI guidelines in respect of RMF and relevant principles thereunder including risk identification, risk management, risk reporting (both periodic and escalation of material incident) and corrective actions taken, if any.

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Fund Manager- Equity

Description of Role & Responsibilities:

- The Fund Manager – Equity would be responsible for day to day management of Equity funds which includes portfolio selection, analysis and strategy in order to optimize performance of the fund versus benchmark indices and competitor funds
- Ensure best execution of trades in the Equity market based on research inputs, technical analysis and maintain market network, track macro-economic data and events. Develop and recommend investment strategies and explore opportunities in the dynamic market scenario to maximize portfolio return
- Analyze a number of sectors and analyzing macro-economic environment for taking call on stock movements, Fund flows and corporate actions. Attend post result con-calls, investor presentations and analyst meets.
- Maximize risk adjusted returns on the Equity portfolio
- Carry out performance analysis and attribution of fund performance
- Develop & publish various MIS and reports
- Ensure investments are in compliance with the organization’s investment policies and various regulatory guidelines
- Ensure compliance of all SEBI investment limits across the various funds
- Interpret changes in the laws/regulations and strategize and evolve policies for ensuring full compliance
- Evaluate investment strategies, ROI and portfolio composition, both of own company and competitors in order to package products
- Adherence to risk appetite framework to maintain appropriate risk level for schemes..
- Closely work with product development team for new fund ideas and providing various options for Domestic and Foreign investments. Provide updates on markets to sales and marketing division.
- Adherence to the SEBI guidelines in respect of RMF and relevant principles thereunder including risk identification, risk management, risk reporting (both periodic and escalation of material incident) and corrective actions taken, if any.

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Dealer - Debt

Description of Role & Responsibilities:

- Ensure effective execution of trades received from Fund Managers
- Assist the Manager (Fixed Income) in actively managing the interest rate, yield curve, and credit exposures within the portfolio against a benchmark / model portfolio
- Keep track of the current market expectations in terms of rate directions, results expectation and sensitive announcements by the key market participants and regulators
- Ensure active management of trades & achieve the targets
- Track the funds cash position and other compliance issues related to debt dealing. Keep a check on limits to comply with internal investment policies
- Maintain quality of market deals by managing market impact and minimizing risks associated
- Allocate business and commissions to various intermediaries equitably and according to the target
- Prevent trading errors, near errors and timely confirm trades and coordinate with back office for execution and processing, Support research function, Provide regular updates to the fund manager regarding the market changes and subsequent changes to the portfolio.
- Take regular feedback from Fund Manager and analyst to ensure uniform and accurate dealing operations
- Keep abreast of the market news, financial trends and current affairs
- Track and attend analyst and company meetings, presentations and calls

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Dealer - Equity

Description of Role & Responsibilities:

- Ensure effective execution of trades received from Fund Managers
- Identify potential trading strategies on back of technical & Derivative indicators and offer ideas to manage market impact and risk
- To ensure active management of trades & achieve the targets
- Track the funds cash position and other compliance issues related to equity dealing. Keep a check on limits to comply with internal investment policies
- Maintain quality of market deals by managing market impact and minimizing risks associated
- Allocate business and commissions to various brokers equitably and according to the target
- Prevent trading errors, near errors and timely confirm trades and coordinate with back office for execution and processing
- Support research function
- Provide regular updates to the fund manager regarding the market changes and subsequent changes to the portfolio
- Take regular feedback from Fund Manager and analyst to ensure uniform and accurate dealing operations
- Maintain information network with brokers
- To attain maximum reach of investment ideas/stock calls initiated
- Keep abreast of the market news, financial trends and current affairs
- Track and attend analyst and company meetings, investor presentations, result calls

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Analyst - Debt

Description of Role & Responsibilities:

- Review and analyze business, market, positioning, historical financial performance of economy, markets, instruments and target companies
- Create financial models performing scenario analysis
- Write credit notes and investment committee memos
- Contribute to structuring and executing financing, contributing to legal documentation drafting and negotiation
- Monitor portfolio companies, write periodical follow up reports and analyze reporting
- Provide regular updates to the fund manager regarding the market changes and potential changes to the portfolio
- Take regular feedback from Fund Manager and analyst to ensure uniform and accurate information requirements
- Maintain information network with analysts
- Generate investment ideas/stock calls initiated
- Keep abreast of the market news, financial trends and current affairs
- Track and attend analyst and company meetings, investor presentations, result calls

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Analyst - Equity

Description of Role & Responsibilities:

- Review and analyze business, market, positioning, historical financial performance of economy, markets, indices and target companies
- Create financial models performing scenario analysis on target companies and sectors
- Write investment committee memos
- Contribute to legal documentation drafting
- Monitor portfolio companies, write periodical follow up reports and analyze reporting
- Provide regular updates to the fund manager regarding the market changes and potential changes to the portfolio
- Take regular feedback from Fund Manager and analyst to ensure uniform and accurate information requirements
- Maintain information network with analysts and investor relations teams of target companies
- Generate investment ideas/stock calls initiated
- Keep abreast of the market news, financial trends and current affairs
- Track and attend analyst and company meetings, investor presentations, result calls

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Head - IT

Description of Role & Responsibilities:

- Implement a robust, scalable technology infrastructure to create a competitive differentiation for the business, besides driving increased adoption and enhancing productivity
- Manage IT and application Infrastructure, IT operations, define IT strategy and project management of key technology solutions
- Responsible for implementing, managing and support all vendor solutions across order management, portfolio management, trading & research technologies, investment management & alternative strategies (e.g. dealing room and market related applications like Bloomberg, Reuters, CCIL application among others)
- Deploy and oversee technology across areas such as application development, databases, server & email administration, network management along with end-to-end information security management including BCP and DR Planning
- Oversee Facility Management support for branch locations and head office
- Plan and Budget to manage procurement of IT assets as per the business requirements and objectives
- Communicate the company's technology strategy to management, staff, partners, customers, and stakeholders
- Identify and monitor Social, Mobile, Analytics and Cloud (SMAC) trends and implement them strategically in the company to take it to next level
- Drive innovation projects and develop strategic planning guidelines in accordance with the business strategy leveraging and building upon best in class technology
- Adherence to the SEBI guidelines in respect of RMF and relevant principles thereunder including risk identification, risk management, risk reporting (both periodic and escalation of material incident) and corrective actions taken, if any.

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VP/AVP - Risk Management

Description of Role & Responsibilities:

- The VP/AVP - Risk would be responsible for identification and measurement of all enterprise-wide risks inherent in a Mutual Fund Organization, as well as evaluating & establishing controls to mitigate such risks
- Review of Portfolio, detailed measurement of the risks, appropriate communication thereof, and ensuring appropriate risk mitigation
- Create risk mitigation frameworks within which decisions will be made to track market risk such as attribution analysis, fund returns vs. risk and provide insights to management, product and sales related to risk.
- Assist with due diligence related to credit and market risk management
- Establishment of Proper risk management related policies and procedures within the Organization
- Improve the internal systems / processes within the department.
- Ensure compliance with the organizations Risk policies and various regulatory guidelines
- Support in risk management and framework implementation and monitoring related activities.

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VP/AVP - Investor Services

Description of Role & Responsibilities:

- The VP/AVP – Investor Relations would be responsible for overseeing the effective service levels to investors within the regulatory framework and timelines
- Institute various processes under the Investor services function, analyze & measure the impact of the processes laid down and identify & plug gaps in processes/ introduce of new processes wherever required
- Respond to Investor queries and coordinate with fund management & operations as well as with external bodies like registrars and transfer agents to solve customer queries
- Oversee effectiveness of the service functions at branches / digital / other channels and provide support in resolution
- Handle escalated complaints from front end teams/channels/investors as well as regulators
- Ensure compliance with the organizations investor policies and various regulatory guidelines
- Adherence to the SEBI guidelines in respect of RMF and relevant principles thereunder including risk identification, risk management, risk reporting (both periodic and escalation of material incident) and corrective actions taken, if any.

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Chief Operations Officer

Description of Role & Responsibilities:

- COO would be responsible for overseeing complete operational processes across all verticals of the Asset Management Company (AMC)
- Reviewing and Approving Standard Operating Procedures (SOPs) encompassing mutual fund processes for Registrar and Transfer Agent (RTA), Custody, Fund Accountant (FA), Banking, Investment Operations and other processes linked with Front Office and Mid Office desks, etc.
- Regularly monitoring the effectiveness of SOPs and proactively update the SOPs to achieve adherence to optimal operational processes
- Responsible for time-bound execution of mutual fund operational processes; this involves liaising and actively engaging with external stakeholders - Custodian, Fund Accountant, RTA, Vendors etc. to resolve issues in a time-bound manner as prescribed by the regulatory framework
- Keeping an oversight on potential issues and addressing and resolving them before trades are submitted to Custodian
- Reviewing Investor Services reports and proactively assisting the Investor Services team on establishing best practices to continuously improve the servicing model at AMC end
- Assisting in key phases of mutual fund software implementations; providing inputs on functional requirements and overseeing testing of applications to ensure implementation / go-live in a timely manner
- Reviewing fund reporting from an operational perspective and reporting this information to Senior Management
- Ensure adequate and timely disclosures as per regulatory and statutory requirements.
- Ensuring all the taxation and statutory and regulatory compliances on timely basis.
- Defining roles and responsibilities of team members and ensuring adequate training.
- Development, implementation and adherence of policies and procedures related to management of risks.
- Ensure adherence of requirements related to internal and statutory audits.
- Adherence to the SEBI guidelines in respect of RMF and relevant principles thereunder including risk identification, risk management, risk reporting (both periodic and escalation of material incident) and corrective actions taken, if any.

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Head - Operations

Description of Role & Responsibilities:

- The Head - Operations would be responsible for overseeing complete operational processes across all verticals of the Asset Management Company (AMC)
- Reviewing Standard Operating Procedures (SOPs) encompassing mutual fund processes for Registrar and Transfer Agent (RTA), Custody, Fund Accountant (FA), Banking, Investment Operations and other processes linked with Front Office and Mid Office desks etc.
- Regularly monitoring the effectiveness of SOPs and proactively update the SOPs to achieve adherence to optimal operational processes
- Responsible for time-bound execution of mutual fund operational processes; this involves liaising and actively engaging with external stakeholders - Custodian, Fund Accountant, RTA, Vendors etc. to resolve issues in a time-bound manner as prescribed by the regulatory framework
- Keeping an oversight on potential issues and addressing and resolving them before trades are submitted to Custodian
- Reviewing Investor Services reports and proactively assisting the Investor Services team on establishing best practices to continuously improve the servicing model at AMC end
- Assisting in key phases of mutual fund software implementations; providing inputs on functional requirements and overseeing testing of applications to ensure implementation / go-live in a timely manner
- Reviewing fund reporting from an operational perspective and reporting this information to Senior Management
- Adherence to the SEBI guidelines in respect of RMF and relevant principles thereunder including risk identification, risk management, risk reporting (both periodic and escalation of material incident) and corrective actions taken, if any.

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Head - Human Resources (HR)

Description of Role & Responsibilities:

- The Head - Human Resources (HR) would be responsible overseeing various HR related activities - organizational development, recruitment, employment policy, performance management, employee relations, trainings and compensation and perquisites
- Providing management, leadership and direction to the HR staff as well as external stakeholders such as recruitment partners
- Advising and guiding employees on current and future human resources trends and skills required to adapt to dynamic work environments
- Developing, approving and implementing HR policies in line with applicable laws and regulations
- Enabling the company to attract, recruit and retain talent with competitive salary and perquisites
- Formulating short-term and long-term goals, HR budget and networking with external organizations as required to achieve goals
- Adherence to the SEBI guidelines in respect of RMF and relevant principles thereunder including risk identification, risk management, risk reporting (both periodic and escalation of material incident) and corrective actions taken, if any.

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Head - Compliance, Legal & Secretarial

Description of Role & Responsibilities:

- The Head - Compliance, Legal & Secretarial would be responsible for maintaining compliance with Acts, Rules and Guidelines of SEBI or other applicable Acts, internal policies and other regulatory mandates and discharging the roles and responsibilities mentioned therein.
- Ensure sharing of data received from different departments, results of compliance tests and reports (like MCR, CTR, half yearly reports and yearly reports) to SEBI, AMFI, Management, Trustees and other regulators as per stipulated frequency
- Monitor compliance for transactions involving external entities, intermediaries and employees (access persons' conflict of interest, especially price sensitive information)
- Review systems, processes and practices as part of various committees
- Work closely with various teams on regulatory, policy & other legal issues. Understand the legal and corporate secretarial risks and drive strategies to mitigate such risks
- Oversee all secretarial activities like management of board meetings, audit committee and other committees, record maintenance, filings and other secretarial activities and monitoring the status of its implementation.
- Co-ordination and communication with Auditors, Regulators and external agencies for audit and inspection by regulatory authorities.
- Provide key legal support, compliance, oversight & control functions to anticipate and respond to the legal and regulatory requirements, resolution and recovery plans
- Collaborate with COO, CFO, Controller and other functional leaders for activities on resolution strategies, mitigation of weaknesses impediments, processes, board approvals and certifications

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Chief Business Officer

Description of Role & Responsibilities:

- Responsible for management, monitoring, control and reporting of sales and distribution risk including the risk of mis-selling, marketing and products.
- Formulating strategies for developing business and achieving the company's business development & sales targets
- Managing available resources in the form of sales teams and operations to achieve profitable growth
- Building Productive and efficient team thru system/ platform and process
- Defining a sales force structure most advantageous to the organization
- Reviewing sales staff remuneration and rewards programs that encourage the sales team to realize their sales targets
- Defining and reviewing sales training programs that facilitate staff to realize their potential and support organization sales goals
- CBO is heading marketing and product function along with sales and distribution.
- Analyzing market trends and share feedback to management and sales staff
- Interacting closely with organization's marketing function to achieve maximum success out of channel and partner programs
- Adherence to the SEBI guidelines in respect of RMF and relevant principles thereunder including risk identification, risk management, risk reporting (both periodic and escalation of material incident) and corrective actions taken, if any.

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Manager / Sr. Manager - Fund Accounting and Settlements

Description of Role & Responsibilities:

- Liaising with a number of key external stakeholders including brokers, custodians and fund accountants to ensure operational processes are executed in line with defined Standard Operating Procedures (SOPs)
- Liaising with Custodians for monitoring settlement of securities as per the defined settlement cycle
- Liaising with Fund Accountant for ensuring timely publishing of Net Asset Value (NAV)
- Tracking, accurate processing and settlement of Corporate Actions
- Responsible for adhering to processes documented as per the AMC's Standard Operating Procedures (SOPs)
- Responsible for delivery of accurate and timely MIS to business and management teams
- Responsible for periodical review of SLAs signed with all service providers for fund accounting, custody and broking services and proactively suggest improvements as required
- Liaising with Fund Accountant and Custodian vendors and support implementation of new initiatives undertaken by AMC
- Suggesting newer initiatives and actively participating in implementing projects of strategic nature to the AMC
- Proactively assisting in timely resolution of any delays or glitches foreseen in key mutual fund operational processes including trade matching, settlements, corporate actions and reconciliation
- Assisting Front Office (FO) desk on static data creation and maintenance in their Front Office application
- Assisting in technology implementations and upgrades of mutual fund applications as required
- Adherence to the SEBI guidelines in respect of RMF and relevant principles thereunder including risk identification, risk management, risk reporting (both periodic and escalation of material incident) and corrective actions taken, if any.

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Manager / Sr. Manager - Unit Operations

Description of Role & Responsibilities:

- Responsible for adhering to processes documented as per the AMC's Standard Operating Procedures (SOPs) for RTA
- Responsible for performing unit reconciliation on daily basis and proactively assisting in resolving any issues related to it
- Ensuring compliance with all regulatory statutes in transaction processing, PMLA, disclosures etc.
- Responsible for periodical review of SLAs signed with all service providers for processing transactions and proactively suggest improvements as required
- Responsible for delivery of accurate and timely MIS to business and management teams
- Ensuring data replication with RTA is conducted as programmed and reconciled
- Liaising with RTA and support implementation of new initiatives undertaken by AMC
- Suggesting newer initiatives and actively participating in implementing projects of strategic nature to the AMC
- Adherence to the SEBI guidelines in respect of RMF and relevant principles thereunder including risk identification, risk management, risk reporting (both periodic and escalation of material incident) and corrective actions taken, if any.

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