

Job Title: Assistant Manager Onboarding & KYC

Company Website: www.firstglobalsec.com

Location: Vashi, Navi Mumbai

Work Experience - In depth knowledge, hands on experience of the functions mentioned in the Job Description below with a minimum of 3 - 5 years of relevant experience.

CTC Range: As per company standards and also depending upon the relevant experience of the candidate/applicant.

Qualification: Graduate

Reporting to: Director

Company Profile:

First Global is a prominent asset management firm, managing both global and Indian (Fund Management Services) assets.

First Global has been known for its innovative and forward-thinking approach. Here are some key points about First Global:

1. Background:

- Founded in 1995, First Global has a rich history in the Investment, Research, and Advice business.
- The company has been operating in Global Markets for over 25 years.
- First Global expertise lies in managing Global and Indian Assets, assisting large institutional clients/ Family Offices and UHNIs in managing their portfolios and assets

2. Expanding Services:

- From being a securities firm focusing on research Stock broking and investment banking, First Global started global asset management in 2015
- In 2020, it additionally launched its own Investment Products, such as Portfolio Management Services (PMS), Alternative Investment Funds (AIF), and Global products in India.

3. Thought Leadership:

- First Global is recognized as a thought leader and trailblazer.
- First Global's well-analyzed perspectives on macroeconomics and financial markets set them apart.

4. **Company Culture:**

- First Global maintains a culture oriented towards excellence, learning, credibility and constant improvement.
- Employees are encouraged to work hard, work smart, and enjoy the journey.

5. **Memberships and Licences:**

- First Global is regulated by Financial Conduct Authority (FCA) in UK and Securities and Exchange Commission (SEC) in the US.
- First Global is a composite member of Bombay Stock Exchange Ltd. (BSE) and National Stock Exchange of India Ltd. (NSE) and regulated by Securities and Exchange Board of India (SEBI) in India.
- First Global is also registered with SEBI as Category I Merchant Banker, Portfolio Manager and Research Entity.

For further details kindly go through the company's website:- www.firstglobalsec.com

So, are you ready for the exciting ride with First Global?

Job Description:

What you will be doing?

Should have worked OR supervised on the following processes:

1. Should have complete knowledge of opening of the digital and physical PMS accounts, processing of EKYC and opening of Demat accounts in all categories such as Individuals, NRI, Corporate, Trust Societies, Partnership Firms & Family Offices.
2. Should be fully conversant with compliance requirement with regards to KYC as prescribed by the Regulators SEBI, RBI and the Exchanges from time to time.
3. Should have handled the entire CVL –KRA process.
4. Should have handled Processing of C- KYC.
5. Should have handled reconciliation and updating the client database on UCC, CVL-KRA, and CKYC on every modification.
6. Should have handled checking of client AML & ANMI global record.
7. Should be fully conversant with downloading the SEBI Debarred (Ban Entities) file from exchanges BSE/NSE.
8. Should have handled Unique Client Code (UCC) files uploading on the exchanges e.g. BSE WebEx/NSE.

9. Brokerage & sharing, creation & updating on the back-office software.
10. Implementing the modifications prescribed by the Regulators and Exchanges relating to KYC processes.
11. Should be well conversant with opening the NRI Savings/PIS NRI Account with concerned Banks.
12. Responsibility to ensure mandatory processing to be completed within the prescribed TAT.
13. Good communication skills for coordination with domestic as well as overseas clients.
14. Should be well verse with word and excel.

What you should have done so far (Previous Experience):

- You are working for a mid-sized Portfolio Manager or Stock Broking Company
- You are handling multiple account opening daily
- You are in charge of getting accounts opened really fast!
- You have made very good and robust processes to ensure quick turnaround time of each account opening application
- You have been able to deliver results which can be measured in terms of reduction of account opening time

Who you are (Skill sets required for the job):

- You are extremely familiar with securities business. In addition you have a questioning and inquisitive mind which is constantly thinking of ideas and approaches different from the consensus point of view.
- You are a voracious reader of financial literature. You are extremely articulate in reading and writing.
- You are extremely articulate in your thinking and verbal and written communication because there will be extensive client contact in this role, done through conference calls and webinars and presentations.