



## JOB DESCRIPTION – OFFICER / ASSISTANT MANAGER IN SURVEILLANCE DEPARTMENT

Particulars	Details
Department	Surveillance
Experience	<ul style="list-style-type: none"><li>❖ For Officer: Min 3 years in broking surveillance operations</li><li>❖ For Assistant Manager: Min 5 years in broking surveillance operations</li></ul>
Location of Posting	Mumbai
Job Description / Responsibilities	<ul style="list-style-type: none"><li>❖ Overseeing end-to-end surveillance activities across equity, derivatives, and DP operations;</li><li>❖ Monitoring and reviewing alerts generated from exchange surveillance systems (NSE/BSE) and internal tools;</li><li>❖ Identifying and investigating suspicious trading activities such as price manipulation, insider trading, front running, circular trading, etc.;</li><li>❖ Ensuring timely analysis, closure, and reporting of surveillance alerts to exchanges;</li><li>❖ Supervising maintenance of proper documentation and audit trail for all alerts and cases;</li><li>❖ Coordinating with Compliance for regulatory reporting including STR (Suspicious Transaction Reporting) wherever applicable;</li><li>❖ Monitoring client risk parameters, margin breaches, position limits, and exposure norms;</li><li>❖ Preparing and reviewing MIS, exception reports, and surveillance dashboards for management;</li><li>❖ Handling regulatory inspections, internal/external audits, and exchange queries;</li><li>❖ Framing and updating internal surveillance policies, SOPs, and control mechanisms in line with SEBI and exchange guidelines;</li><li>❖ Providing guidance and support to junior team members</li></ul>
Job Specific Skills	<ul style="list-style-type: none"><li>❖ Strong knowledge of stock market operations (Equity, F&amp;O, DP);</li><li>❖ In-depth understanding of SEBI, Exchange (NSE/BSE) surveillance framework and regulations;</li><li>❖ Experience in handling exchange alerts and regulatory reporting;</li><li>❖ Analytical mindset with ability to interpret large datasets and trading patterns;</li><li>❖ Proficiency in MS Excel and surveillance / risk management systems;</li><li>❖ Strong attention to detail and decision-making ability;</li><li>❖ Good communication, documentation, and stakeholder management skills;</li><li>❖ Leadership and team handling capability</li></ul>
Educational Qualification	<ul style="list-style-type: none"><li>❖ Minimum graduate</li><li>❖ Must have NISM SORM, FO &amp; CD Certification</li><li>❖ MBA / Postgraduate in Finance preferred</li></ul>
CTC Offered	As per company policy



# Canara Bank Securities Limited

(A Wholly Owned Subsidiary of Canara Bank)

Member: BSE, NSE; DP: NSDL



<b>How to Apply</b>	Applications should be submitted on email: <a href="mailto:applications@canmoney.in">applications@canmoney.in</a> Subject: Please mention "Application for the post of Officer / Assistant Manager in Surveillance Department". No application shall be accepted with other subject.
<b>Website</b>	<a href="http://www.canmoney.in">www.canmoney.in</a>



Regd. Office: 7th Floor, Maker Chamber III, Nariman Point, Mumbai - 400 021. CIN No. : U67120MH1996GOI097783

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SEBI Reg. No. : NSE,BSE: INZ000279135 / NSDL Reg No. : IN-DP-300-2016

Gen. 022-2280 2400 / 43603800)

Company Secretary & Compliance Officer: Ashish Kumar Sonwani, Email: [cs@canmoney.in](mailto:cs@canmoney.in)

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