

### Terms of Reference (TORs)

<b>Position</b>	<b>Assistant Director – Category C (02 Positions)</b>
<b>Division</b>	Supervision Division
<b>Department</b>	Brokers, Capital Market Infrastructure Institution (CMIIs) and Market Surveillance Department
<b>Nature of Employment</b>	Regular
<b>Location</b>	Islamabad
<b>Duties and Responsibilities</b>	<ul style="list-style-type: none"> <li>• Conduct compliance reviews of brokers, CMIIs, and market participants to ensure adherence to Companies Act, 2017, Securities Act 2015, Future Market Act, 2016 and other relevant rules and regulations.</li> <li>• Prepare reports on market operations, identifying compliance gaps and recommending improvements.</li> <li>• Assist in monitoring and auditing offsite activities, including market transactions and regulatory filings.</li> <li>• Conduct offsite audits of brokers and market intermediaries, reviewing their financial records, compliance documentation, and internal controls.</li> <li>• Liaise with external stakeholders, including brokers, CMIIs, and financial institutions, to ensure compliance with market regulations.</li> </ul>
<b>Qualification</b>	<ul style="list-style-type: none"> <li>• MBA / BBA - Hons. (equivalent to 16 years of education) in Accounting/Finance or related fields from an HEC-recognized university/institution or CA / ACCA / ACMA.</li> </ul>
<b>Post Qualification Experience</b>	<ul style="list-style-type: none"> <li>• Minimum 3 years of relevant post-qualification experience.</li> <li>• <i>In case of qualified Chartered Accountant, CA Articleship will be considered as part of requisite experience.</i></li> </ul>
<b>Age Limit</b>	<ul style="list-style-type: none"> <li>• The maximum age should not exceed 35 years as on the closing date of applications.</li> <li>• <i>Candidates who have at least 3 years of experience working with a regulator will be given an age relaxation of 5 years.</i></li> </ul>
<b>Functional / Technical Skills</b>	<ul style="list-style-type: none"> <li>• Familiarity with offsite audit and compliance processes.</li> <li>• Strong understanding of financial statement analysis, regulatory reporting, and risk assessment in the context of market participants.</li> <li>• Proficiency in Microsoft Office, and reporting tools to manage offsite audits.</li> <li>• Detail-oriented with a strong focus on accuracy in financial and regulatory reporting.</li> </ul>
<b>Soft Skills</b>	<ul style="list-style-type: none"> <li>• Strong written and verbal communication skills to prepare audit reports and provide feedback.</li> <li>• Ability to manage time effectively and handle multiple offsite audits simultaneously.</li> <li>• Collaborative team player, capable of working independently or with a team as needed.</li> </ul>