

Terms of Reference (TORs)

Position	Deputy Director – Category A (02 Positions)
Division	Supervision Division
Department	Brokers, Capital Market Infrastructure Institution (CMIIs) and Market Surveillance Department
Nature of Employment	Regular
Location	Islamabad
Duties and Responsibilities	<ul style="list-style-type: none"> • A thorough understanding of Companies Act, 2017, Securities Act 2015, Futures Market Act, 2016, along with other relevant regulatory frameworks that govern market operations. • In depth understanding of the functions of the stock market, futures market, central depository, and the clearing house. • Examination of financial statements and other regulatory filings filed with SECP. • Lead and manage investigations into violations of the aforesaid regulatory framework. • Coordinate with legal teams, enforcement bodies, and law enforcement agencies to enforce compliance with applicable regulatory framework • Analyse complex financial transactions and systems to uncover illegal or unethical activities.
Qualification	<ul style="list-style-type: none"> • CA/ACCA/ACMA
Post Qualification Experience	<ul style="list-style-type: none"> • Minimum 6 years of relevant post-qualification experience. • <i>For qualified Chartered Accountants, articleship will be considered as part of the requisite experience.</i>
Age Limit	<ul style="list-style-type: none"> • The maximum age should not exceed 40 years as on the closing date of applications. • <i>Candidates who have at least 3 years of experience working with a regulator will be given an age relaxation of 5 years.</i>
Functional / Technical Skills	<ul style="list-style-type: none"> • Strong investigative and analytical skills with proficiency in financial analysis, fraud detection, and forensic accounting techniques. • Ability to analyse complex market behaviours and data to identify patterns of fraudulent or illegal activity. • Familiarity with market surveillance systems, investigation tools, and techniques used in detecting market irregularities. • In-depth understanding of AML/CFT frameworks and financial crime prevention measures. • Familiarity with market surveillance systems, investigation tools, and techniques used in detecting market irregularities.
Soft Skills	<ul style="list-style-type: none"> • Strong leadership and decision-making skills to guide the investigation team. • Excellent communication skills for preparing investigation reports and presenting findings to senior management and regulatory bodies. • High attention to detail and a methodical approach to investigations. • Ability to work under pressure and manage complex investigations with multiple stakeholders. • Strong ethical standards, maintaining the integrity of investigations and following regulatory processes rigorously. • Ability to handle sensitive information and maintain confidentiality during investigations.