

Chief Operations Officer

Roles and Responsibilities:

1. Responsible for the governance of operational risks.
2. Provide inputs to CRO to define risk threshold and risk appetite
3. Define and delegate roles to the key personnel within the operations function for identifying and reporting risks
4. Provide relevant information to CRO regarding the risk reports
5. Identify, analyse and report relevant functional risks to the CRO and CEO along with recommended action plan
6. Ensure escalation of such incidents as per the escalation matrix approved by CRO.
7. Perform adequate due diligence of outsourced vendors prior to on-boarding
8. Identify, analyse and report relevant functional risks to the CRO and CEO along with recommended action plan
9. Ensure implementation of an integrated investment management system across front office, mid office and back office.
10. Ensure risk levels are in accordance to the approved risk threshold and risk metric.
11. Formulate, review and periodically provide inputs to update the RCSA for key risks and controls
12. Perform and report outcomes of periodic testing of the RCSA to CRO
13. Identify and implement corrective actions / recommend action plans for deviations in the controls and present to CRO/ CEO
14. Ensure adherence to the SEBI risk management framework