

SRIRAM MUTHUKUMAR | MCSI | LAWYER | COMPANY SECRETARY

Location: Mumbai, India

Contact: +91 9884599032

Email: sriramiyer29@hotmail.com

LinkedIn: www.linkedin.com/in/sriramiyer29

PROFESSIONAL PROFILE

Regulatory compliance professional with 12 years of experience with the Indian Capital Market Regulators such as National Stock Exchange of India (NSE) and Bombay Stock Exchange (BSE) as well as leading with organizations like Motilal Oswal Financial Services Limited, TVS Motor Company Limited and Karnataka Bank Ltd. Demonstrated self-motivation, organizational skills and in-depth understanding of regulatory laws.

CORE COMPETENCIES

- Capital Market and Stock Broker Regulations
 - Regulatory Compliance
 - PMLA/Financial Crime
 - Board Memos and Reports
 - Skilled in policy framework
 - Internal Audit
 - Risk Management
 - Consultant
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CAREER SUMMARY

July 2022 – Present BSE – Manager – Regulatory

Supervision of stock broker compliances and ensuring that compliance is maintained to the highest standard by stock brokers following the risk and legal obligations.

Key responsibilities:

- Successfully facilitated in 4 policy frameworks with SEBI towards enhanced supervision of stock brokers and authorized persons in primary and secondary capital market.
- Provided expert guidance on regulatory changes, ensuring proactive adaptation and minimizing potential compliance risk for stock brokers.
- Conducted thorough audits and assessment of stock brokers to identify compliance gaps.
- Trained and mentored staff on compliance protocols, enhancing over all team competency and compliance awareness.
- Addressed and resolved legal issues and concerns raised by the stock brokers at the time of merger/amalgamation, transmission or transfer of business.
- Organized committee meetings, CRO (Chief Regulatory Officer) meetings with other regulatory bodies.

December 2021 – May 2022 Motilal Oswal Financial Services Limited – Manager – PML

Adhering to SEBI regulations, PMLA, Exchange and Depository guidelines and managing the compliance framework for identifying and reporting suspicious transactions.

Key responsibilities:

- Effectively managed and reported 18 suspicious activities to the senior management and intimating the same to Exchanges as per Exchange guidelines and FIU under the PMLA guidelines for stock brokers.
- Reported 11 Internal Depository Participant alerts and Depository FIU aligning with Depository guidelines to mitigate financial crime risks.
- Coordinated with Depositories with regards to developments and alerts.
- Successfully conducted capital market educational series through webinars for investors.

February 2018 – September 2021 NSE - Deputy Manager – Regulatory

Managed day-to-day regulatory operations of the exchange.

Key responsibilities:

- Admission of new stock brokers on the Exchange.
- Evaluated and authorized applications of Change in Control, Merger/Amalgamation, Transfer/Transmission of Business, Change in Constitution, Surrender of membership of Stock Brokers.
- Streamlined operations by automating manual activities, enhancing efficiency and accuracy in regulatory assessments.
- Developed and maintained documentation for regulatory procedures, ensuring transparency and adherence to legal requirements.

November 2015 – December 2017 TVS Motor Company Limited – Sr. Executive – Secretarial

Ensured corporate governance and ethical practices are maintained to the highest standard adhering to corporate laws.

Key responsibilities:

- Compliance of SEBI (Listing Obligations and Disclosure Requirements), 2015.
- Led 4 Corporate Social Responsibility initiatives.
- Resolved queries of Secretarial auditors.
- Managed statutory inspections and incorporation of group entities independently.

February 2014 – June 2015 Priti J. Sheth & Associates – Intern

Key responsibilities:

- Successfully incorporated 5 public limited and 3 private limited companies, ensuring compliance with the Companies Act, 2013.
- Led the execution of 3 private placements and issuance of bonus shares enhancing capital structure for both public and private entities.
- Conducted comprehensive secretarial audits for 2 listed companies, identifying compliance gaps and recommending improvements.
- Developed a strong foundation in corporate governance and regulatory compliance positioning as a valuable asset for business consulting and internal audit roles.

August 2011 – June 2013 Karnataka Bank Limited – Associate

Key responsibilities:

- Developed and implemented asset charge structures to enhance borrower compliance and risk management.
- Facilitated financial advancements for 10 Small and Medium Enterprises (SMEs) promoting sustainable growth.

EDUCATION

- MCSI | The CISI, UK
- LLB | University of Mumbai
- ACS | The Institute of Company Secretaries of India (ICSI)
- M.Com (Banking and Finance) | University of Mumbai