

Terms of Reference (TOR)

Garima Capital Limited situated at Kathmandu-01, Kamalpokhari, a leading Merchant Banker licensed by Securities Board of Nepal (SEBON), is looking for career – driven, passionate and qualified individual for the following positions:

1. Investment Management Department -PMS Operations Unit

Functional Title:	Senior Operations Associate
Corporate Position:	Up to Junior Officer
Age:	Not exceeding 40 years as on 12th February, 2025
Salary and Benefits:	As per Company's Policy
Required No:	1

Position Overview

We are seeking a highly experienced and dynamic individual to handle Operations Unit of Investment Management Department. The Senior Operations Associate shall play a critical role in seamless execution of all activities pertaining to PMS Operations Unit within the company, including trading operations, settlement of transactions, risk management, and compliance with regulatory requirements. He/She shall play a pivotal role in ensuring the efficient functioning of PMS Operations Unit by supporting trade execution, client portfolio review, termination settlement, partial withdraw, monitoring post-trade activities, and providing operational risk mitigation. The role requires strong leadership capabilities with a deep understanding of investment operation.

Key Responsibilities

- Provide direct supervision on execution of EDIS/DIS of sold stocks on behalf of assigned PMS Clients;
- Make sure the follow up is done with broker(s) to ensure stock is credited timely in DEMAT Account of PMS Clients;
- Make sure the follow up with broker(s) for receipts on *gross sales bill amount basis*;
- Provide direct supervision to operations analyst in preparation of Memo for payment to broker and make payment to broker on *gross purchase bill amount basis*;
- Make sure the entries are posted in the SOFTWARE for purchase/ sales/ receipt/ payment of assigned PMS clients within the same transaction day;
- Make sure the entries are posted in the SOFTWARE within the same day for payables/receivables from/to clients against approved memo including advance settlement

memo and other relevant documents etc;

- Carry out the periodic review of portfolio of PMS clients (such as at the time of yearly review);
 - Make sure the entries of CASH DIVIDEND Realization are posted in the SOFTWARE within the same day of credit of cash dividend in respective bank account of concerned PMS Clients. For this follow the news/ announcement on regular basis;
 - Make sure the entries of BONUS/RIGHT Shares Realization are posted in the SOFTWARE within the same day of credit of bonus/right stocks in DEMAT Account of concerned PMS Clients. For this follow the news/ announcement on regular basis;
 - Make sure IPO is applied on behalf of assigned PMS clients;
 - Make sure reconciliation of Bank, Broker and stock balance pertaining to assigned PMS clients between SOFTWARE and Bank Account, Broker Account and DEMAT Account is timely carried out;
 - Ensure the team adheres to internal policies, regulatory standards, and best practices for investment operations;
 - Any other work assigned by senior officials.
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Qualifications and Experience

Education: MBA or equivalent or Semi Qualified CA.

- **Experience:**
 - Minimum of 1 year of experience in operations/finance/accounts pertaining to Capital market and BFIs.
 - In-depth knowledge of financial markets, investment operations and capital market.
 - Proven track record in grooming teams, driving strategic initiatives, and implementing operational efficiencies in investment functions.
 - Strong understanding of regulatory requirements and compliance standards in operations related activities.
 - Experience with investment management software, trade processing systems, and risk management tools.

Skills & Competencies

- Strong analytical, problem-solving, and decision-making skills.
- Exceptional communication and time management skills, with the ability to convey complex investment concepts to both technical and non-technical stakeholders.
- High attention to detail and ability to manage multiple priorities in a fast-paced environment.
- Strong strategic thinking and planning capabilities, with the ability to implement initiatives that align with organizational goals.

2. Investment Management Department -PMS Operations Unit

Functional Title:	Operations Analyst
Corporate Position:	Trainee Assistant
Age:	Not exceeding 25 years as on 12th February, 2025
Salary and Benefits:	As per Company's Policy
Required No:	1

Position Overview

We are seeking a fresher and dynamic individual to handle Portfolio Management Service (PMS) Operations Unit of Investment Management Department. The Operations Analyst shall play a critical role in seamless execution of assigned activities of PMS Operations Unit within the company.

Key Responsibilities:

- Execute EDIS/DIS of sold stocks on behalf of assigned PMS Clients;
- Follow up with broker(s) to make sure stock is credited timely in DEMAT Account of PMS Clients;
- Follow up with broker(s) for receipts on *gross sales bill amount basis*;
- Prepare memo for payment to broker and make payment to broker on *gross purchase bill amount basis*;
- Post an entry in the SOFTWARE for purchase/ sales/ receipt/ payment of assigned PMS clients within the same transaction day;
- Post entry in the SOFTWARE within the same day for payables/receivables from/to clients against approved memo including advance settlement memo and other relevant documents;
- Post an entry of CASH DIVIDEND Realization in the SOFTWARE within the same day of credit of cash dividend in respective bank account of concerned PMS Clients. For this follow

- the news/ announcement on regular basis;
- Post an entry of BONUS/RIGHT Shares Realization in the SOFTWARE within the same day of credit of bonus/right stocks in DEMAT Account of concerned PMS Clients. For this follow the news/ announcement on regular basis;
 - Apply the IPO on behalf of assigned PMS clients;
 - Carry out the reconciliation of Bank, Broker and stock balance pertaining to assigned PMS clients between SOFTWARE and Bank Account, Broker Account and DEMAT Account is timely carried out;
 - Any other work assigned by senior officials.

Qualifications:

- BBA or equivalent.
- Age not exceeding 25 years old.
- Any relevant work experience is preferred

Skills & Competencies

- Strong analytical, problem-solving, and decision-making skills.
- Exceptional communication and time management skills.
- High attention to detail and ability to manage multiple priorities in a fast-paced environment.
- Strong strategic thinking and planning capabilities, with the ability to implement initiatives that align with organizational goals.

How to apply:

Interested candidates are requested to send their formal application to recruitment@garimacapital.com by **12th February, 2025 (30th Magh, 2081)** before 17:00 hours.

Selected Candidates are required to attend interview. The company retains the right to reject one or all applications without assigning any reason whatsoever.