

S. PERIYASAMY, MBA, Ph.D

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5/79 – Rangasamuthiram, Pichanur (po), Madukkarai – Via, Coimbatore, India – 641105.

COMPLIANCE PROFESSIONAL

17 Years of Experience in Business Development (Membership & financial product) and regulatory compliance with India's Premier Stock Exchange including administrative, training and business operations with India's leading stock broking companies with knowledge in Equity, Derivatives, Commodities, Depositories and SEBI certified professional.

PROFILE

- Compliance and membership professional held various positions in BSE Ltd (**Bombay Stock Exchange Ltd**) & **Resource Person (Bombay Stock Exchange Ltd – IPF Trust)**.
Internal Audit/Compliance review at stock exchange level
 - **Business Consultant in a stock broking firm**
 - **Empaneled Continuing Professional Education (CPE) Trainer (contract)** – since Oct 2014 with **National Institute of Securities Markets, an education initiative of SEBI**, Navi Mumbai, **BSE Ltd** and **Interconnected Stock Exchange of India (ISEIndia)**.
 - Having a **healthy industry relationship** with leading companies across various parts of India at **Senior Management levels**.
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SEBI & INDUSTRY READY CERTIFICATIONS

- Certified “**Online Dispute Resolution Mechanism**” by National Institutes of Securities Markets
 - Certified “**Equity**” & “**Derivative**” module conducted by National Stock Exchange of India Ltd
 - Certified “**Derivative**” module conducted by National Stock Exchange of India Ltd
 - Certified “**Derivative**” module conducted by BSE Ltd
 - Certified “**Securities Operations & Risk Management**” by National Institutes of Securities Markets
 - Certified “**Surveillance in Capital Market**” conducted by National Stock Exchange of India Ltd
 - Certified “**Compliance module (Non-fund)**” conducted by National Institutes of Securities Market
 - Certified “**Mutual Fund Distributor Certification**” by National Institutes of Securities Market
 - Certified “**Currency Derivatives Certification**” by National Institutes of Securities Market
 - Certified “**Econometrics & Simulation application in Financial Market**” by BSE Limited
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PROFESSIONAL EXPERIENCE

Compliance Consultant

Since May '15 (Contractual Basis)

EKARUP, Coimbatore (a financial service company)

(A financial service company offering Equity, Derivatives, Mutual Funds and Commodities trading in association with Alice Blue Securities Pvt Ltd (SEBI reg. No. INZ010005338))

- Manage and oversee brokerage operations staff
- Front-ending with Regulators and maintain excellent working relationships, handling regulatory inquiries with maturity and without/with limited supervision
- Work closely with clients/staff to ensure operational questions/procedures are answered/observed
- Design/implement policies, systems and procedures – modify existing procedures where necessary
- Plan, organize, direct, control and evaluate the operation of an accounting and branch audit.
- Compliance testing on areas that pose high regulatory risks be it trading, settlement, Pay-in/payout, KYC,

grievances, Insider checks, etc.

- Drafting/vetting of various agreements, side letters, PDAs, engagement letters, PDAs, agreements involved in Capital Markets transactions.
- Evaluate financial reporting systems, accounting procedures, investment activities, and make recommendations for changes to procedures, operating systems, budgets and other financial control functions.

Deputy Manager –Business Development – BSE Ltd

Oct '12 - Sep 14

- Introducing and creating a market for Exchange products / segments like currency, cash, F&O, IRF and Debt and to identify new members or customers with commercial potential for business growth.
- Providing advisory support to business units and the management in registration, enabling day-to-day trading operations.
- Authority for accepting/releasing the collaterals (i.e., **Bank Guaranteed, Fixed Deposit receipts, etc..**) to / from the Trading Member of the Exchange for trade purpose.

Deputy Manager – Department of Surveillance & Supervision – BSE Ltd, Chennai

Apr '10 - Sep '12

- Manage the daily functions performed by the team.
- Participation in and provision of appropriate documentation for audits, reviews and inspections.
- Preparing compliance checklist of applicable regulations and assisting in training on compliance issues and performing surveillance, inspection and investigations.
- Prepares for audit by researching materials; formulating a plan of action.
- Ensures compliance with regulations and controls by examining and analyzing records, reports, operating practices, and documentation; recommending opportunities to strengthen the internal control structure in accordance with Byelaws of the exchange and SEBI.
- Completes audit work papers and memorandums by documenting audit tests and findings.
- Communicate audit progress and findings by preparing reports; providing information in meetings.
- Provides management reports by collecting, analyzing, and summarizing management information
- Enhances compliance department and organization reputation by accepting ownership for accomplishing new and different requests; exploring opportunities to add value to job accomplishments.

Asst Manager - Dept of Investor Services – BSE Ltd, Chennai

Jul '08 - Mar '10

- Organise **Investor Grievance** Redressal Committee (IGRC) meetings / **Arbitration meetings** (to resolve disputes between Client and Trading Member) and worked as in charge of (IGRC) / Arbitration for south India: This function entails, Investor complaints/grievances received from SEBI, Stock Exchange and Depositories, Referring them to IGRC panel for redressal.

ADITYA BIRLA MONEY LTD., Coimbatore, India

Apr '08 – Jun '08

SYKES & RAY EQUITIES (I) LTD., Coimbatore, India

Aug '07 – Feb '08

Capital Market Dealer

- Was involved in buying and selling shares on behalf of the customers and selling Mutual Funds & IPOs to various customers.
- Was responsible for developing rapport with clients interested in investment opportunities.

INDUSTRIAL ACADEMICS

National Institute of Securities Markets (NISM)

Nov '14 – Nov '18

- Offered CPE programs for Associated Persons in the Securities Market Intermediaries.
 - NISM Series VII: Securities Operations and Risk Management Certification Examination
 - NISM Series-III-A: Securities Intermediaries Compliance (Non-Fund) Certification Examination
 - Financial Literacy Program (FLP): FLP's were conducted to create awareness and to educate the Investors about the recent developments, Do's and Don'ts, Day to day operations, products and developments in financial markets. We as a team conducted more than 100 FLP's in various South Indian Cities, Towns. This includes Corporate, Students & General Public.
 - Certification Program: BSE Training Institute Limited (Subsidiary of BSE Limited) conducts certifications/programs on various financial products, i.e., Cash or Equity, Derivatives, Fundamental analysis, Technical Analysis, Certification on Financial planning, Depositories and its operations etc., to enable the Trading members to register and operate the Terminals. Also, organized and supervised the Exams in various cities of South India.
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ACADEMICS

Ph. D - Finance thesis titled “Impact of Regulatory Measures for Empowering Retail Investors’ in Indian Capital Market”. 2017

Dept of Management Studies and Research, Karpagam Academy of Higher Education, Coimbatore, Tamil Nadu, India.

MBA in Finance 2007

Mepco Schlenk Engineering College, Sivakasi, Affiliated to Anna University, Chennai, India

Bachelors of Commerce & Computer Application 2004

Sree Narayana Guru College, K.G. Chavadi, Affiliated to Bharathiar University, Cbe.

PERSONAL INFORMATION

Date of Birth: 20th November 1982

Fathers’ Name: S.Sivasamy

Marital Status: Married

Languages Known: English, Tamil, Malayalam, Telugu and Hindi