

SEC

SECURITIES AND EXCHANGE COMMISSION OF SRI LANKA



The Securities and Exchange Commission of Sri Lanka (SEC), established by the SEC Act No. 36 of 1987 as amended, is statutorily empowered to regulate and facilitate the development of the capital market. As the apex regulator of the capital market the primary objectives of the SEC include the creation and maintenance of a fair and orderly capital market, ensuring professional standards are maintained in the industry and the protection of the interest of investors.

The SEC is looking for self-motivated team players with integrity, self-discipline, ethical conduct, ability to maintain confidentiality along with strong interpersonal skills for the following positions:

DIRECTOR - INVESTIGATIONS

The Director Investigations will head the Investigations Division and have overall supervision of the Division.

The candidate needs to possess a thorough understanding of capital market offences and violations specified under the SEC Act, responsible for the smooth functioning of the Investigations Division.

The major responsibilities inter-alia include;

- monitoring all investigations conducted by the SEC and provide direction to the staff of the Investigations Division;
- conducting investigations, interview witnesses, record statements, prepare investigation reports and perform such other tasks that are necessary in the process of conducting investigations;
- designing and implementing case-specific investigation strategies and time-bound action plans;
- liaising with law enforcement agencies, other regulatory agencies and any other agents of the State when necessary;
- taking follow up action in respect of cases instituted by the SEC.

The successful candidate shall have;

- a Bachelor's Degree in Finance, Law, Management, Accountancy and Economics from a recognised university or be an Attorney-at-Law or be a member of a recognised professional accounting body
- preference will be given to candidates who possess a Class in the Bachelor's Degree, possess a Master's Degree or possess a Postgraduate Diploma
- minimum of 10 years experience in the relevant field in a senior managerial or managerial position
- excellent command of English and Sinhala languages, excellent interrogative, analytical, writing, negotiating, drafting and presentation skills and be articulate, decisive and be computer literate

DIRECTOR - CAPITAL MARKET DEVELOPMENT

The Director Capital Market Development will head the Capital Market Development Division and have overall supervision of the Division.

Major responsibilities inter-alia include;

- spearheading the capital market development initiatives;
- carrying out research relating to the capital market development and risk mitigation strategies and formulate policies in relation to the continuous and sustainable growth of the capital market of the country as well as to provide recommendations relating to implementation of the same;
- co-ordinating effectively with industry participants and providing recommendations in order to support the capital market development initiatives of the industry participants;
- exploring options to facilitate the widening and broadening of the investor base, issuer base and also to introduce new products and develop the Corporate Bond Market and the Unit Trust Industry;
- co-ordinating and interacting closely with international organizations such as the International Organization of the Securities Commissions, regulators of other jurisdictions and other international agencies in order to ensure compliance with international best practices and to obtain their assistance and cooperation to support the growth of the capital market;

The successful candidate shall have;

- a Bachelor's Degree in Economics, Finance, Management, Accountancy, Statistics, Mathematics or Law from a recognised university or be an Attorney-at-Law or be a member of a recognised professional accounting body
- preference will be given to candidates who possess a Class in the Bachelor's Degree and possess a Master's Degree/a Postgraduate Diploma
- minimum of 10 years experience in the relevant field in a senior managerial or managerial level
- excellent command of English and Sinhala Languages, ability to engage in research, strong analytical and writing skills, excellent presentation skills and be computer literate

Age : Candidates should be between 35 and 55 years. The upper age limit will not be applicable for internal applicants and candidates in the government sector organisations.

Please apply with names and contact details of two non-related referees indicating position on the top left hand corner of the envelope to reach the following address by registered post on or before 27th July 2020.

The selection will be by way of an interview and only the shortlisted candidates will be contacted.

Canvassing in any form will be a disqualification.

The Director General
Securities and Exchange Commission of Sri Lanka
Level 29, East Tower, World Trade Center
Echelon Square, Colombo 1
Website : www.sec.gov.lk

DIRECTOR - SUPERVISION

The Director Supervision will head the Supervision Division and have overall supervision of the Division.

The major responsibilities inter-alia include;

- ensuring that all the entities licenced and registered by the SEC comply with the provisions of the SEC Act, the Rules and Regulations made thereunder and the CSE Rules;
- conducting on-site/off-site inspections to assess the financial stability and operational integrity of all the entities licenced and registered by the SEC;
- examining and approving all Unit Trust promotional material, annual and interim reports and circulars;
- developing and formulating audit and other supervisory processes of the entities licenced and registered by the SEC on an on-going basis, manage risk and
- liaising with other regulatory bodies when necessary

The successful candidate shall have;

- a Bachelor's Degree in Finance, Economics, Accountancy, Management, Law, Mathematics and Statistics from a recognised university or an Attorney-at-Law or be a member of a recognised professional accounting body.
- preference will be given to candidates who possess a Class in the Bachelor's Degree, possess a Master's Degree or possess a Postgraduate Diploma.
- minimum of 10 years experience in the relevant field in a senior managerial or managerial position.
- experience in the field of risk management, compliance, auditing, capital markets, finance and/or banking, IT based systems audit and/or Forensic Accounting experience will be an added advantage.
- a good command of English and Sinhala languages, strong analytical and writing skills, excellent presentation and communication skills and be computer literate.
- ability to plan, manage and complete work on a timely basis.

DIRECTOR - HUMAN RESOURCES

The Director Human Resources will head the Human Resources Division and have overall supervision of the Division. The Director shall be responsible for all Human Resources related functions.

Major responsibilities inter-alia include;

- developing a comprehensive Human Resources Plan for the Secretariat;
- attending to processes relating to recruitment and selection of staff to the Secretariat;
- developing and implementing a sound Performance Management system;
- planning and developing a career progression path for the staff;
- addressing the training and development needs of the staff on an on-going basis;
- attending to matters pertaining to staff welfare and employee grievances, disciplinary actions etc

The successful candidate shall have;

- a Bachelor's Degree in Human Resource Management (HRM) or any other discipline with specialization in HRM from a recognized University or be an Attorney-at-Law with experience in the field of Human Resources;
- preference will be given to candidates who possess a class in the Bachelor's Degree or possess a Master's Degree;
- possess demonstrable track record in managing Human Resources with a minimum of 10 years of experience at senior managerial or managerial level with well-developed Human Resources skills to spearhead a professional team. Knowledge/ experience in the Government Administrative Procedures will be an added advantage;
- be articulate, analytical and decisive with excellent communication skills in English, Sinhala and/or Tamil and be computer literate. Negotiating and presentation skills will be a distinct advantage