



# Job Description: Assistant – Stock Broking & PMS

**Company:** Spiel Wealth India Private Limited

**Segment:** Investments

**Sub-Segment:** Stock Broking (Demat & Trading) and PMS

**Reports to:** Relationship Manager (RM)

**Salary Range:** ₹18,000 to ₹20,000 per month

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## 1. Job Purpose

The Assistant will provide operational excellence and administrative support to the Relationship Manager. The goal is to ensure seamless client onboarding for Demat/Trading accounts and provide back-office coordination for PMS investments, ensuring all trades and portfolio movements are accurately recorded and reported.

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## 2. Key Responsibilities

### A. Onboarding & Account Management

- **KYC Execution:** Manage the end-to-end digital and physical KYC process for opening Demat and Trading accounts.
- **PMS Documentation:** Coordinate the signing of PMS Disclosure Documents and discretionary/non-discretionary investment agreements.
- **Bank & DP Linking:** Ensure seamless integration between the client's savings bank account, Demat account, and trading platform.

### B. Post-Trade & Portfolio Operations

- **Contract Note Verification:** Assist clients in understanding their daily contract notes and margin requirements.
- **Corporate Actions:** Track and inform the RM/Client regarding corporate actions like Dividends, Bonus Issues, Rights Issues, and Stock Splits.
- **PMS Reporting:** Generate and share periodic portfolio performance reports, capital gains statements, and holding statements with clients.

### C. Client Service & Compliance

- **Query Resolution:** Act as the first point of contact for technical issues related to the trading app or web portal.
  - **Fund Transfers:** Facilitate and track "Pay-in" and "Pay-out" requests from clients to ensure sufficient margins for trading.
  - **Audit Readiness:** Maintain rigorous filing of all Client Registration Documents (CRD) and Power of Attorney (PoA) forms as per SEBI/Exchange mandates.
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### 3. Required Skills & Qualifications

- **Education:** Graduate in Commerce, Finance, or a related field.
  - **Technical Skills:** \* Proficiency in **MS Excel** (Sorting large data sets, basic pivot tables).
    - Basic understanding of **Stock Market terminology** (Margins, Haircuts, Settlement Cycles - T+1).
    - Familiarity with Back-office software (e.g., Omnesys, NEST, or proprietary broker portals).
  - **Soft Skills:**
    - High **Attention to Detail** (to avoid errors in account numbers or trade quantities).
    - Ability to work in a fast-paced environment during market hours.
    - Strong ethical standards regarding sensitive financial information.
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### 4. Performance Indicators (KPIs)

1. **Onboarding Speed:** Time taken from document collection to account activation (TAT).
  2. **Accuracy:** Zero errors in client mapping or PMS agreement execution.
  3. **Reporting Consistency:** Timely delivery of monthly/quarterly PMS performance reports to clients.
  4. **Compliance Score:** 100% "Audit Ready" files with all mandatory SEBI disclosures.
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### 5. Why Join Spiel?

This role provides a deep dive into the mechanics of the Indian Capital Markets. You will gain hands-on experience in how high-net-worth portfolios are managed and how broking operations function at scale, paving the way for a career as an Executive or Relationship Manager in the Equity vertical.

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