

INTERNAL VACANCY ANNOUNCEMENT

The Securities and Exchange Commission (SEC) which is the apex regulatory body of the securities market in Ghana, established by the Securities Industry Act, 2016 (Act 929) as amended by the Securities Industry (Amendment) 2021 (Act 1062), with the object to regulate and promote the growth and development of an efficient, fair, and transparent securities market in which investors and the integrity of the market are protected, **invites applications** to fill the following positions:

1. **Deputy Chief Manager, Director-General's Secretariat**
2. **Senior Manager, Policy Research and IT**
3. **Manager, Legal and Enforcement**
4. **Manager, Deputy Director-General, Finance's Office**
5. **Assistant Manager, Finance and Capital**
6. **Assistant Manager, Internal Audit**
7. **Assistant Manager, Funds Management - 2**
8. **Officer II, Director-General's Secretariat**
9. **Officer II, Deputy Director-General, Finance's Office**

1. **Deputy Chief Manager**

Job Purpose:

To serve as the principal technical and strategic adviser to the Director-General, providing high-level support in policy formulation, regulatory strategy, stakeholder engagement, institutional coordination and supervision of units within the Secretariat, and presentation of reports to ensure the effective execution of the SEC's mandate and strategic objectives.

Major Accountabilities & Responsibilities:

- **Strategic Advisory Support**

Provide expert analysis and technical advice/recommendations on capital market policy, regulatory reforms, and strategic initiatives to guide the Director-General's decision-making.

- **Policy and Research Coordination**

Lead the development and review of policy briefs, technical papers, and strategic reports for the Director-General, ensuring alignment with national financial sector goals and international best practices.

- **Stakeholder Engagement and Representation**

Support the Director-General in engaging with key stakeholders, including government agencies, international partners, and industry players; represent the DG in high-level meetings when delegated.

- **Institutional Coordination and Oversight**

Facilitate coordination across departments and supervise the units in the Director-General's Secretariat to ensure timely implementation of the Director-General's directives and strategic priorities; monitor progress and report on key deliverables.

- **Preparation of Reports and Communication**

Prepare reports, presentations, speeches and official communications for the Director-General, ensuring clarity, accuracy, and alignment with the Commission's vision and regulatory stance etc.

Educational Qualification and Experience:

- First Degree and Master's Degree in Economics, Finance, Accounting, Business Administration, or a related field from an accredited tertiary institution.
- Must have relevant professional qualifications and be in good standing.
- A minimum of ten (10) years' relevant working experience, five (5) of which must be in a Senior Management position.
- Must have done National Service

2. Senior Manager, Policy Research and IT (Fintech & Innovation)

Job Purpose:

To oversee and lead the design, development and implementation of regulatory frameworks for **financial technology (FinTech)** and **financial innovation**, particularly in the areas of **virtual assets**, **virtual asset service providers (VASPs)**, **regulatory sandboxes**, **blockchain technologies**, and other emerging digital financial services. This role ensures the maintenance of **market integrity**, **investor protection**, and **compliance with national laws** and **international best practices** governing financial innovation and digital assets.

Major Accountabilities & Responsibilities:

- **Regulatory Framework Development**

Design and update policies, guidelines, and regulations governing FINTECH and Innovation products and services including virtual assets and VASPs, blockchain and related technologies etc. in line with international best practices and local financial sector objectives.

- **Licensing and Supervision**

Oversee the licensing and authorization processes for FinTech and financial innovation products and services, ensure effective ongoing supervision through compliance, monitoring, risk assessments, and periodic reporting.

- **Market Surveillance and Enforcement**

Monitor virtual asset market activities to generate market intelligence reports, identify potential misconduct, fraud, regulatory non-compliance; to initiate and support appropriate enforcement actions as necessary.

- **Stakeholder Engagement and Capacity Building**

Collaborate with industry stakeholders, government agencies, and international partners to enhance regulatory clarity and strengthen capacity within the FinTech and Innovation ecosystem.

- **Research and thought leadership**

Lead research and provide regulatory thought leadership on emerging trends in FinTech and Innovation; advise the Commission on strategic policy and regulatory responses to technological developments within the FinTech and financial innovation landscape.

- **Support the development** and utilization of digital monitoring tools for FinTech and Innovation products and services.
- **Lead brainstorming sessions**, facilitate workshops and collaborate effectively with cross-functional teams etc.

Educational Qualification and Experience:

- First Degree and Master's Degree in Information Technology, Cybersecurity, Law, Finance, Economics or related field.
- Professional certifications in FinTech & digital innovation, blockchain and virtual assets, financial regulation, compliance and AML (e.g. chartered FinTech professional, digital finance and FinTech, CAMS, CISA etc.) are highly desirable.
- Demonstrated experience in virtual asset regulation, blockchain technology, or digital financial regulation is essential.
- A minimum of eight (8) years professional working experience, four (4) of which must be in a middle management position.
- Must have done National Service

3. Manager, Legal and Enforcement

Job Purpose:

To ensure compliance by market operators on the provisions of the Securities Industry Law including licensing, surveillance and inspections of the market operators and maintaining the appropriate registers.

Major Accountabilities & Responsibilities:

- Provide interpretation and assist with the implementation of relevant laws, regulations and directives relating to the work of the SEC.
- Represent the Commission in litigation either with the Commission's Legal Team or with its External Solicitors.
- Conduct extensive legal research and analysis and provide legal opinions when required.
- Handle, formulate and draft legislation, Codes, Directives, Guidelines, Circulars etc. and amendment thereof as required by the SEC.
- Ensure the compliance by market operators with the provisions of the securities industry laws, Codes, Directives, Guidelines, Circulars etc. including licensing of the market operator.
- Assist in instructing, liaising and evaluating solicitors in the provision of services to the Commission.
- Prepare contracts and other legal documents to protect the interest of the Commission.
- Monitor evolution of the regulatory framework, make impact analysis and update management.
- Identify legal risks for the Commission and provide advice.
- Provide corrective action in cases where laws have been ignored or misconstrued.
- Resolve problems in cases where laws have been ignored or misconstrued.
- Provide Company Secretarial Services in the absence of the Board Secretary.
- Work under the Head, Legal and Enforcement and with other members of the department and other departments when required etc.

Educational Qualification and Experience:

- Bachelor of Laws (LLB) with Professional qualification in Law (BL).
- A member of the Ghana Bar Association and in good standing.
- MBA or LLM in a relevant field will be an advantage
- A minimum of 6 years at the Bar with relevant work experience, two (2) of which must be in a managerial position in a reputable organisation.
- Must have done National Service

4. Manager**Job Purpose:**

To provide strategic, technical and analytical support to the Deputy Director-General (Finance) in the execution of regulatory and financial oversight, policy development, and institutional coordination, preparation of reports and presentation to ensure the effective implementation of financial strategies and regulatory initiatives aligned with the Commission's mandate.

Major Accountabilities & Responsibilities:

- **Technical and Strategic Advisory**

Provide expert analysis and recommendations on market regulation, financial policies, capital market development, and fiscal strategies to support the Deputy DG's decision-making.

- **Policy and Regulatory Research**

Conduct research and prepare policy briefs, technical papers, and regulatory proposals to support the formulation and implementation of financial sector reforms.

- **Project and Policy Coordination**

Support the Deputy DG in managing cross-departmental financial projects and policy initiatives; track progress and ensure timely delivery of outcomes.

- **Stakeholder Engagement**

Liaise with internal departments, government agencies, and external partners on financial matters; represent the Deputy DG in technical meetings when required.

- **Documentation and Communication**

Draft policy briefs, technical memos, speeches, and presentations for the Deputy DG; ensure clarity, accuracy, and alignment with institutional priorities etc.

Educational Qualification and Experience:

- First Degree and Master's Degree in Economics, Finance, Accounting, Business Administration, or a related field from an accredited tertiary institution.
- Must have relevant professional qualifications and be in good standing.
- A minimum of 6 years relevant working experience, three (3) of which must be in a middle Management position.
- Must have done National Service

5. Assistant Manager, Internal Audit

Job Purpose:

To carry out risk-based internal auditing to ensure the Governance structures, risk management framework and internal control systems of the Commission are adequate and implemented in an efficient manner to achieve the Commission's objectives.

Major Accountabilities & Responsibilities:

- Assist in preparing annual audit plan based on the outcome of the annual risk assessments.
- Carry out audit assignments as Auditor-in-Charge, assists superiors in performing of same.
- Perform audit assignments in accordance with the Commission's Internal Audit Manual using specialist techniques as appropriate to ensure that activities carried out by employees are consistent with the best interests of the Commission.
- Multitask along with the main audit assignments in efficient way and performs special assignments and projects (as and when required) to ensure strict adherence to laws, regulations, policies, and procedures.
- Ensure that all individual audit work papers and records are prepared according to international auditing standards and filed according to requirements. Includes preparing work and recording facts and comments.
- Prepare audit reports with value added recommendations for improving internal controls and to monitor their acceptance and implementation.
- Share valuable inputs and work experience with colleagues to develop their technical and communications skills to enable them to handle assigned work efficiently.
- Carry out pre-audit of transactions to ensure adequacy and reliability of supporting documents (Service Level Agreements, contracts, evaluation reports, invoices, receipts etc) before payments are effected by the Commission.
- Ensure compliance and implementation of directives issued by the Commission's Audit Committee and the Internal Audit Agency etc.

Educational Qualification and Experience:

- First Degree in Accounting, Finance, Business Administration, or in a relevant field; Master's Degree will be an added advantage.
- Professional qualification in ICAG and in good standing.
- A minimum of four (4) years relevant working experience.
- Excellent knowledge of the Global Internal Audit Standards
- Must have done National Service

6. Assistant Manager, Finance and Capital

Job Purpose

To support the finance team by providing insights into the financial planning and analysis of the activities and operations of the Commission.

Major Accountabilities & Responsibilities:

- Assist the Senior Manager in the budgeting, forecasting and long-term planning processes of the Commission.
- Assist in the preparation of monthly, quarterly and annual financial reports.
- Prepare weekly liquidity reports and advice on portfolio management of the Commission's reserves.
- Prepare monthly revenue reconciliation.
- Prepare staff Pension reports.
- Assist in the month end close activities.
- Perform variance analysis by comparing actuals against budget/forecast and prior year performances.
- Assist in internal control documentation and compliance.
- Support decision making by providing Management with timely, detailed and meaningful insights and visibility on business performance.
- Ensure integrity of financial data and compliance with relevant laws/regulations etc.

Educational Qualification and Experience:

- First Degree and Master's Degree in Accounting, Finance, Business Administration, Mathematics or any other relevant field
- Professional qualification such as ICAG and in good standing.
- A minimum of four (4) years post Bachelor's degree work experience in Finance and Accounting
- Audit firm experience will be an added advantage.
- Must have done National Service

7. Assistant Manager, Funds Management - 2 Positions

Job Purpose:

To assist in the regulatory inspection and oversight of Fund Managers, facilitate compliance reviews, review financial reports, support in communicating findings, respond to inquiries, contribute to departmental reporting, address complaints, and support all activities of the Department.

Major Accountabilities & Responsibilities:

- Conduct onsite and offsite inspections of Fund Managers, Custodians, Trustees and Collective Investment Schemes
- Produce timely reports on regulated entities inspected and undertaking follow ups
- Review and process licence applications and renewals and generate licences
- Monitor compliance with submissions of statutory returns and reports from market operators
- Issue penalty letters for non-compliance with statutory returns from market operators
- Respond to correspondence
- Attend to public enquiries
- Attend Annual General Meetings (AGMs)
- Assist in managing Complaints received by the Commission
- Manage accounts of Fund Managers and report performance
- Monitor compliance through offsite- review of statutory returns.
- Prepare sanction letters for non-compliance issues.
- Provide support for internal and external stakeholders
- Update the CMO with current details of operators
- Monitor the RCP for notification and completion of Electronic Directors' Personal Notes (eDPN) by directors
- Respond to correspondence and inquiries from market operators

Educational Qualification and Experience:

- A minimum of a First Degree in Business Administration or relevant field
- Master's degree will be an added advantage
- Relevant professional qualification and be in good standing.
- A minimum of four (4) years relevant working experience in a similar role and environment
- Must have done National Service

8. Officer II

Job Purpose:

To provide high-level executive and administrative support to the Director-General's Secretariat, ensuring effective coordination of activities, communication, and implementation of strategic initiatives across the Commission. The role serves as a key liaison between the Director-General's office and internal/external stakeholders.

Major Accountabilities & Responsibilities:

- **Executive Support and Coordination**

Manage the Director-General's schedule, prepare briefing materials, and coordinate meetings, ensuring alignment with strategic priorities and institutional goals.

- **Strategic Communication**

Draft speeches, memos, reports, and official correspondence on behalf of the Director-General; ensure clarity, accuracy, and consistency with the Commission's messaging.

- **Project Monitoring and Follow-up**

Track the implementation of key initiatives and directives from the Director-General's office; liaise with departments to ensure timely updates and progress reporting.

- **Stakeholder Liaison**

Serve as the primary point of contact for internal and external stakeholders engaging with the Director-General's office; manage relationships with professionalism and discretion.

- **Administrative Duties**

Ensure efficient office operations, including document management, logistics for official engagements, and coordination of executive-level events and visits.

Educational Qualification and Experience:

- First Degree in Business Administration, Management with Secretaryship or Computing, Psychology or relevant field
- A minimum of one year relevant working experience in a similar role and environment
- Must have completed National Service

9. Officer II

Job Purpose:

To provide high-level executive and administrative support to the Deputy Director-General-Finance's Secretariat, ensuring effective coordination of activities, communication, and implementation of strategic initiatives across the Commission. The role serves as a key liaison between the office and internal/external stakeholders.

Major Accountabilities & Responsibilities:

- **Executive Support and Coordination**

Manage the Deputy Director-General's schedule, prepare briefing materials, and coordinate meetings, ensuring alignment with strategic priorities and institutional goals.

- **Strategic Communication**

Draft speeches, memos, reports, and official correspondence on behalf of the Deputy Director-General; ensure clarity, accuracy, and consistency with the Commission's messaging.

- **Project Monitoring and Follow-up**

Track the implementation of key initiatives and directives from the Deputy Director-General's office; liaise with departments to ensure timely updates and progress reporting.

- **Stakeholder Liaison**

Serve as the primary point of contact for internal and external stakeholders engaging with the Deputy Director-General's office; manage relationships with professionalism and discretion.

- **Administrative Duties**

Ensure efficient office operations, including document management, logistics for official engagements, and coordination of executive-level events and visits.

Educational Qualification and Experience:

- First Degree in Business Administration, Management with Secretaryship or Computing, Psychology or relevant field
- A minimum of one year relevant working experience in a similar role and environment
- Must have completed National Service

Technical, Managerial & Behavioural Skills Required:

- Knowledge of the laws, rules, regulations, and guidelines relating to the securities industry and the capital market in general
- Working knowledge of the Securities Industry Act, 2016 (Act 929)
- Working knowledge of securities and capital market operations
- Excellent report writing and presentation skills
- Strong analytical and administrative skills
- Excellent Planning and execution skills
- Excellent communication and interpersonal skills
- Ability to influence colleagues to work towards achieving the Commission's objectives within timelines
- Strong ethical and professional skills.
- Innovative thinker with strong ethical values
- Proficient with Microsoft Office applications, Word, Excel, PowerPoint, and Outlook.

Qualified and interested applicants should kindly apply through this email recruitment4784@gmail.com by submitting a cover letter and detailed Curriculum Vitae (As One Document in PDF) including email addresses of two professional referees.

Use the position applied for as Subject of the E-mail.

CLOSING DATE: 5:00 PM ON 8TH AUGUST 2025

ONLY SHORTLISTED APPLICANTS WILL BE CONTACTED