

2019/10/24

## Role: Senior Compliance Specialist

### Job Title & General Information

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|------------------------|------------------------------|
| <b>Title</b>           | Senior Compliance Specialist |
| <b>Employment Rate</b> | 100%                         |

|                     |                                    |
|---------------------|------------------------------------|
| <b>Location</b>     | Port Louis, Mauritius              |
| <b>Division</b>     | Group Legal                        |
| <b>Reporting to</b> | Director, Risk, Legal & Compliance |

| REQUIRED QUALIFICATIONS |   |
|-------------------------|---|
| <b>Training</b>         | <ul style="list-style-type: none"> <li>• BSc/BA in law, finance, business administration or related field</li> <li>• Certified compliance professional</li> <li>• English and French spoken</li> </ul>  |
| <b>Main Experience</b>  | <ul style="list-style-type: none"> <li>• Proven experience as compliance specialist / officer over multiple jurisdictions (minimum of 5 years practical work experience);</li> <li>• Experience in leading a team, setting goals, monitoring progress and enforcing employee development programmes;</li> <li>• In-depth knowledge of the financial service industry's standards and regulations (fiduciary services and insurance preferential);</li> </ul>  |
| <b>Other Experience</b> | <ul style="list-style-type: none"> <li>• Excellent knowledge and experience in drafting and implementing compliance policies and procedures, record keeping and data analysis;</li> <li>• Business acumen partnered with self-motivation, commitment and enthusiasm for compliance and ethics</li> <li>• Methodical and diligent with exemplary planning and organisational abilities</li> <li>• critical problem-solving ability i.e. ability to make decisions on information available, which is not always in black and white</li> <li>• Pro-active, rigorous and strong analytical skills i.e. able to "see" the complexities of procedures and regulations</li> </ul> |

|                  |   |
|------------------|---|
|                  | <ul style="list-style-type: none"> <li>• Excellent organizational, written, verbal and presentation skills</li> <li>• Project management skills, applicant is likely to have to juggle a number of projects at one time.</li> </ul> |
| <b>Languages</b> | English   |

### JOB PURPOSE

We are a fast-growing financial services group operating in multiple jurisdictions and we are looking for a strong analytical **Senior Compliance specialist** with sufficient experience to support the Head of Legal and Compliance in managing a Global Compliance Team to ensure the Company's various business activities are carried out within applicable regulatory frameworks as well as internal compliance programs and policies.

### RESPONSIBILITIES

#### Duties/Tasks

- Work closely with the Chief Risk Officer and Global Compliance Team based in at least 5 jurisdictions (e.g. British Virgin Islands, Barbados, Mauritius, South Africa and Switzerland);
- Work with Business Units to assist in developing an improved Risk and Compliance Monitoring Programme per business unit;
- Assess, improve and implement risk management strategies and compliance controls for the Group and the business units;
- Review and adjust existing policies, procedures, reports etc. to identify risks or incidents of non-compliance;
- Perform risk assessments to understand risk level, significance and scope per product, per client and per business unit;
- See to it that internal policies and procedures are periodically reviewed to ensure same are kept up to date, and that new internal rules are drafted and implemented in light of regulatory or business changes;
- Help perform AML/CFT checks during client on-boarding as well on-going transaction monitoring by the various business units;
- Support with FATCA/CRS duties for the business entities including classification of our entities and our clients and reporting on an annual basis including liaising with various teams to collect and interpret data;

- Review documentation produced by business units falling under the scope of compliance e.g. client due diligence questions and checklists, risk assessments reporting etc.;
- Keep abreast of regulatory developments as well as evolving best practices in compliance and risk controls;
- Prepare reports for senior management and external regulatory bodies as may be appropriate;
- Conduct audits to ensure adherence with written and verbal policies and regulations and report back to business functions on deficiencies;
- Produce and interpret reports of inspection to provide useful information in taking appropriate business decisions
- Monitor compliance risk controls to identify deviations and provide recommendations on management of compliance issues
- Correct and address issues of non-compliance in a manner that limits recurrence and promotes adherence to set rules
- Organise training programs to keep company staff informed on the benefits and consequences associated with either complying or defying external or internal regulations
- Liaise with authorities and professionals in relevant jurisdictions to analyse and develop standards for risk and compliance