

Compliance Officer

Location: Cape Town

An opportunity has arisen to appoint a Compliance Officer at our Cape Town office.

Summary of the position

The Compliance Officer will assist the Senior Compliance Officer and staff members in discharging their responsibility to comply with applicable legislative and regulatory requirements through the provision of compliance services and to identify, assess, manage, monitor and report regulatory compliance risks facing the organisation.

Outline of main duties and responsibilities

The Compliance Officer will be expected to:

- Ensure the effective implementation of the Compliance Monitoring programme and undertake all aspects of monitoring activities;
- Tracking of non-compliant findings with respective business unit function managers until resolved;
- Monitor the efficiency and consistency of compliance controls and assist with the enhancement of procedures and controls;
- Actively manage the mitigation of compliance breaches;
- Maintain appropriate written procedures to ensure compliance with applicable legislation, regulations and group policies, and to monitor adherence to such procedures;
- Prepare training material and deliver training in compliance with regulatory obligations and business procedures;
- Prepare compliance reports to management and various committees and governance structures within the group;
- Prepare reports to regulatory authorities;
- Monitor changes in relevant legal requirements and other regulatory developments which may impact on the company and advise the Directors on their implications;
- Provide advice to the Directors on the regulatory implications of new business areas and new products.

Skills and experience required

The successful candidate will have:

Education

- Degree level qualification, or equivalent, ideally in Business, Finance, Law or Compliance and Risk Management;
- Hold a CPrac designation.

Experience

- At least 2-3 years relevant work experience in Compliance;
- FSB FAIS approved as a Compliance Officer for Category I and II Financial Services Providers.
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Skills

- Strong working knowledge of FAIS, FICA and a solid knowledge of the South African Regulatory Environment in the Financial services sector;
- Well organized with the ability to work autonomously and deal with busy workload;
- Self-motivated, mature and able to use initiative with a strong hands-on approach;
- A discreet and confidential manner with confidence, persuasiveness and the ability to motivate colleagues;
- Good clear and concise written and verbal skills;
- The ability to communicate with staff at all levels of the business.