

Professional Job Announcement: Compliance Officer - Cape Town, South Africa

Compli-Serve, a leading and highly regarded independent specialist provider of advisory and operational compliance services to the financial services sector, is currently seeking a dedicated and experienced Compliance Officer to join our esteemed team in Cape Town, South Africa. With a strong commitment to upholding the highest compliance standards, we offer an exciting opportunity for a skilled professional to contribute to the integrity and trustworthiness of the financial services industry.

Position Overview:

As the Compliance Officer, you will play a pivotal role in ensuring that our clients adhere to all regulatory requirements while operating effectively within the framework of financial regulations. Your expertise and meticulous approach will contribute to building lasting relationships with clients and fostering a culture of compliance excellence within our organisation.

Minimum Requirements:

Registered Category I Compliance Officer: Possess official approval by the esteemed Financial Sector Conduct Authority (FSCA) as a Category I Compliance Officer. While Category II registration is preferred, it is not a mandatory requirement for this position.

Proven Experience: Demonstrate a minimum of 3 to 5 years of hands-on experience in compliance or risk management within the financial services industry, showcasing your in-depth knowledge of relevant regulations and practices.

Local Residency: Reside in the Cape Town area and possess your own resources, including a well-equipped home office and a reliable vehicle, to carry out your responsibilities effectively.

Key Duties and Knowledge:

In this multifaceted role, your responsibilities will encompass:

Client Relationship Management: Skillfully maintain existing client relationships in the Cape Town region while actively expanding the compliance client base, fostering trust and confidence in our services.

Risk Identification and Management: Exhibit a keen ability to identify and manage risks, deftly applying regulatory guidelines in a practical and sustainable manner.

Compliance Monitoring and Review: Conduct thorough compliance monitoring and review activities, diligently fulfilling related administrative tasks to ensure compliance adherence across the board.

Regulatory and Statutory Compliance: Determine the applicable statutory and management requirements for all clients and implement comprehensive policies and procedures to facilitate seamless compliance.

Stakeholder Engagement: Establish and maintain positive relationships with business area and line management, fostering a collaborative environment and demonstrating effective stakeholder management and influencing skills.

Expert Regulatory Advice: Provide valuable ad hoc advice on regulatory and operational risks, utilising your technical expertise and deep understanding of regulations and compliance limitations to guide stakeholders effectively.

Escalation and Reporting: Effectively escalate any instances of material non-compliance to the appropriate forum, ensuring timely resolution and adherence to regulatory reporting requirements.

FSCA and other Regulatory Liaison: Interact and liaise with the Financial Sector Conduct Authority as needed, maintaining a professional rapport and staying updated on relevant regulatory developments.

Skills Required:

To excel in this role, you will need to possess the following skills and attributes:

Effective Communication: Exhibit exceptional communication skills, both verbal and written, enabling you to engage with various stakeholders, clients, and team members effectively.

Adaptability: Display a high level of self-motivation and the ability to adapt swiftly to new situations and environments, embracing challenges with a positive and proactive approach.

Stakeholder Management: Demonstrate strong stakeholder management and influencing skills, enabling you to garner support and cooperation from diverse stakeholders.

Compliance Proficiency: Ensure effective compliance practices throughout the organization, demonstrating your expertise in interpreting and implementing regulatory requirements.

Regulatory Awareness: Stay vigilant in understanding and addressing new or changing regulatory requirements to proactively mitigate compliance and regulatory risks.

Collaboration: Contribute to the success of the Compliance team by fostering a culture of collaboration, supporting team members, and sharing knowledge and insights for collective growth.

Ambitious Drive: Exhibit a willingness to embrace new career challenges and tackle complex work assignments, showcasing your dedication to continuous personal and professional development.

Strategic Vision: Possess the ability to think strategically, aligning your vision with the organization's goals, while also maintaining a meticulous focus on details and effective execution.

Pragmatic and Balanced Approach: Offer pragmatic, risk-balanced advice, and thrive in ambiguous situations, showcasing your capacity to navigate complex compliance landscapes.

Proficiency in:

Microsoft Office 365 Applications: Showcase proficiency in using a range of Microsoft Office applications, including Outlook, Word, Excel, PowerPoint, and Teams, to efficiently manage and communicate compliance-related information.

Application Process:

To seize this exceptional opportunity, please submit a comprehensive application to Tanya Van Aswegen, General Manager, at tanya@compliserve.co.za . The closing date for applications is 30 September 2023.