

## eComply Consultants (Pty) Ltd is hiring!

### Role Description:

**Job Title:** Senior Compliance Officer

**Salary:** Negotiable (Experience-based)

**Hybrid on-site and remote work (Cape Town-based, hybrid is negotiable)**

### Job Purpose:

The Senior Compliance Officer will assist our FSP clients to comply with their statutory and regulatory obligations. This includes implementing and maintaining an effective compliance framework through the provision of compliance risk management services (identification, assessment, management, monitoring and reporting on compliance risks).

### Min Experience and Qualification requirements:

- Must be a Phase 1 approved compliance officer with the FSCA for Cat I and Cat II, preferably with Cat IIA as well.
- Completion of RE1 & RE3 FAIS Regulatory exams.
- Must have a degree or similar qualification which is listed on the FSCA's list of recognised compliance qualifications. In addition, a CPrac (SA) or CProf (SA) designation would be a plus.
- Must meet the Fit and Proper requirements in respect of Honesty, Integrity & Good Standing
- Must not be an unrehabilitated insolvent, must not have entered a compromise with creditors or been provisionally sequestrated or liquidated
- Ideally a minimum of 5 years' compliance and risk management experience within the financial services industry, preferably at a Cat II FSP

### Knowledge requirements:

- Excellent working knowledge of FAIS and subordinate legislation / board notices / guidance notes, including TCF.

- Excellent working knowledge of Anti Money Laundering legislation, FICA and its Regulations
- Strong working knowledge of the financial services industry
- Strong working knowledge of financial markets and instruments
- Strong understanding of risk management methodologies
- A Strong working knowledge of Regulation 28, Regulation 30, CISCA, POPI and other asset management industry-relevant compliance requirements.
- Strong computer literacy and must be proficient in MS Office tools (such as Word, Excel and Teams)

**Areas of responsibility include but are not limited to:**

- Assisting our clients with their client onboarding processes, specifically in relation to mandate review and drafting, FICA reviews and assigning of portfolio compliance rules where relevant.
- Overseeing the monitoring and reporting on daily mandate compliance (CISCA, REG28, REG 30 and other relevant industry regulations)
- Responding on behalf of our clients to AML due diligence questionnaires where required
- Keeping abreast of regulatory landscape applicable to our clients. Drafting and maintaining compliance policies and procedures in accordance with legislative and statutory requirements and amendments thereto.
- Maintaining a Regulatory universe.
- Providing regulatory compliance awareness training where required
- Drafting, monitoring and reporting on compliance with our clients' Internal Policies
- Regulatory submissions
- Risk reporting and assessments, to evaluate adequacy and effectiveness of established controls and risk mitigation plans
- Maintain Compliance Framework (FAIS) and Risk Management Compliance Programme (FICA)
- Periodic Reporting to client Senior Management
- Providing compliance input into client business projects, trading on new exchanges, trading new instrument types both domestic and foreign
- Liaising and working with internal and external auditors
- Promote a good working relationship with regulators and industry bodies

**Skills, Competencies and Personal Attributes:**

- High respect for confidentiality
- High level of integrity
- Excellent verbal and written communication skills
- Accuracy and attention to detail
- Good interpersonal skills
- Self-starter who is self-driven and self-directed
- Ability to work under pressure, independently and as part of a team

- Excellent time management skills, ability to plan and prioritise, deadline driven
- Ability to perform tasks in an objective and unbiased manner
- A proactive approach to problem-solving and analytical thinker

## **How to apply:**

Applications should be provided to [info@ecomply.co.za](mailto:info@ecomply.co.za)

Should you not hear from us within two weeks, consider your application to have been unsuccessful.

## **About eComply:**

### **Company background**

eComply was established in 2003 as a focused private company providing risk, compliance and corporate governance consulting to a select segment of the financial services industry. eComply is an FSCA approved Compliance Practice (No. 744) for purposes of providing compliance services to FAIS Category I, II & IIA Financial Services Providers.

### **Clients / Industry Sectors**

- **Asset Management:**
  - Institutional
  - Multi-Managers
  - Alternative Investment Managers & Hedge Fund Managers
- Collective Investment Schemes / Unit Trusts
- Institutional Investors, including retirement funds
- Industry organizations and regulators

### **Key Services**

- **Advisory Service:**

We provide guidance on compliance, risk, and corporate governance matters.

This includes advice on:

- Compliance Methodology
- Regulatory Requirements, and
- Best Practice.

We are able to recommend the most suitable compliance framework for a business taking into account Generally Accepted Compliance Practice.

- **Implementation Service:**

Having advised on the most appropriate compliance framework for your business we are able to assist with the implementation thereof.

- **Review Service:**

eComply undertakes independent due diligence reviews on behalf of interested third parties such as

- potential clients,
- multi managers, and
- regulators

We produce a report highlighting the extent to which risk and compliance best practice has been applied as well as areas for improvement.

- **Training Service:**

We provide training on compliance requirements relevant to discretionary asset managers and other financial service providers.

In addition, we provide training and awareness workshops to prepare key individuals and representatives for the FAIS regulatory exams.

eComply has recently been accredited as a CPD provider by the Compliance Institute of Southern Africa.

- **Monitoring and Reporting:**

We provide our contractual clients with an ongoing monitoring and reporting service covering the core regulatory compliance requirements.

## **Key Service Elements / Critical & Differentiating Success Factors**

- Full-service contracts and ad-hoc assignments
- Regulatory endorsement (FSCA approval)
- Absolute transparency, integrity & excellent reputation
- Committed to B-BBEE
- Close local and international industry connections
- We have done the job before

## **Philosophy & Approach**

**We believe good compliance and corporate governance to be a question of ethics.**

Rather than simply approaching good compliance and corporate governance as a need for adherence to regulatory requirements or best practice as an imposed necessity, we view it as way of conducting business in a way that is **fit and proper**.

We encourage our clients to instil a positive compliance culture throughout their organisation so that the interests of all stakeholders are continually cared for.

We establish a close working relationship with our clients to gain a comprehensive understanding of their business dynamics and thereby provide tailored solutions.

**eComply recognises the immense value of having and maintaining a good reputation.**

We are a team of dedicated professionals with the highest standards of integrity. We are purposefully selective with our engagements and aim to expand our client base mainly through positive referrals or “word of mouth”.

**Local and Global**

We at eComply believe in the benefits provided by industry organisations. Consequently, we are active participants in both local and global investment management and compliance organisations. Much of the time we spend on this work is voluntary.