

Job Advert Template	
Company Name	Apex Fund and Corporate Services SA (Pty) Ltd
Location ie: Where is the role based	Mowbray, Cape Town
Job Title	Compliance Officer
Closing Date for applications	
Contact person and email address for applications	Lauren-lee.mehl@apexgroup.com
Company Name	Apex Fund and Corporate Services SA (Pty) Ltd
Company Website URL	www.apexgroup.com
Attach logo in PNG / JPG	
Summary	The role will consist of supporting all the legal and regulatory compliance activities of the relevant Fund Administration entities. The Compliance Officer will work alongside and support the local Compliance team and appointed Head of Compliance to assist 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 organization.
Full job profile and job description	<p>Outline of main duties and responsibilities:</p> <p>Regulatory Compliance duties:</p> <ul style="list-style-type: none"> • Ensure the effective implementation of the Compliance Monitoring program and undertake all aspects of monitoring activities as assigned by manager. • Track non-compliant findings with respective business unit managers until resolved. • Monitor compliance with applicable regulations which includes but is not limited to CISCA, FAIS, FICA, POPIA and the efficiency and consistency of compliance controls and assist with the enhancement of procedures and controls. • Monitor the regulatory risks within the business. • Maintain appropriate written procedures to ensure compliance with applicable legislation, regulations and group policies, and to monitor adherence to such procedures. • Maintain a register of PEPs, high risk clients, complaints, conflicts of interest, compliance and data

	<p>breaches, and actively manage adherence to the related process and mitigation of breaches.</p> <ul style="list-style-type: none"> • Prepare training material and deliver training in compliance with regulatory obligations and business procedures. • Participate in projects of various initiatives, such as those projects addressing new regulatory initiatives and the review of existing policies. • Prepare compliance reports to management and various committees and governance structures within the group. • Prepare and act as backup for regulatory reporting and submission to the relevant regulators in terms of applicable regulatory obligations. • Act as the Deputy MLRO, support the establishment and maintenance of the group's Anti Money Laundering policies, procedures, systems and controls in compliance with the Anti Money Laundering rules and all relevant legislation applicable. • Monitor screening, suspicious transactions and provide reporting and escalations as required. • Complete enhanced customer due diligence reports for senior management approval. • Monitor screening of politically exposed persons and sanction monitoring and escalate potential concerns. • Identify potential sanctions matches, as a result of screening. • Consider the political exposure of potential clients and act appropriately. • Monitor that a register of data processing activities is maintained by the relevant entities. • Monitor data protection compliance within the entities and help the entities to be accountable in this respect. • Monitor that all affected entities have made the necessary data protection notifications, and comply with applicable legislation, group policies and procedures in connection with data protection obligations. • Support the Information Officer and Deputies to cooperate with the local regulators (responding to their requests about investigations, complaint handling, inspections conducted by the local regulators, etc.) • Ad-hoc compliance duties as assigned by the line manager.
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	<p>Skills and experience required:</p> <p>Skill:</p> <ul style="list-style-type: none"> • Strong working knowledge of the South African financial services regulatory framework; • Discreet and confidential manner; • Confidence and persuasiveness, with the ability to motivate colleagues and support the embedding of a positive compliance and risk management culture; • Be well organized, with the ability to work autonomously and deal with a busy workload. • Be prepared to get heavily involved in supporting the regulatory compliance function, investigating complex structures and considering appropriate KYC requirements and risk categorizations; • Self-motivated, mature and able to use initiative. <p>Education and Experience:</p> <ul style="list-style-type: none"> • Degree level qualification, or equivalent, ideally in Law or Compliance and Risk Management. • At least 3 years relevant work experience in Compliance. • Preferably have obtain FSCA FAIS approval as a Compliance Officer for Category I Financial Services Providers. <p>Learning and development:</p> <ul style="list-style-type: none"> • You will receive training on a day to day basis by coaching and mentoring. • Personal development plan will be agreed on an annual basis. • Self-learning. • Attendance to internal training including webinars, workshops and workgroups as may be required <p>What you will get in return:</p> <ul style="list-style-type: none"> • A genuinely unique opportunity to be part of an expanding large global business; • Competitive remuneration commensurate with skills and experience. • Training and development opportunities.
CISA Channels	<ul style="list-style-type: none"> • Website • LinkedIn • CISA Pulse