

## SENIOR COMPLIANCE EXECUTIVE

JOB IDENTIFICATION	
<b>Job Title:</b>	Senior Compliance Executive
<b>Reports To:</b>	Regional Compliance Manager
<b>Department:</b>	Compliance

## THE ROLE

**Purpose**

Perform duties, as directed by the Regional Compliance Manager, which will assist Appleby in Mauritius to adhere to their responsibilities as Reporting Person in Mauritius as defined by the Financial Intelligence and Anti-Money Laundering Act 2002 and any other related laws, regulations and guidance as applicable. You will be positioned within Group Compliance to ensure your independence. You will perform independent compliance monitoring reviews and interact with local management on compliance, risk and regulatory issues, including to provide regulatory guidance, training and advice to the team.

**Principal Duties and Responsibilities**

- Manage the compliance component in the client on-boarding process to ensure adherence to the risk appetite and that all required checks and procedures are complied with before client acceptance; including assessing information and documents for corroborative or verification purposes;
- Responding to enquiries on international affairs in relation to anti-money laundering, anti-terrorist financing, financial sanctions, and know your client documentation gathering;
- Maintaining and updating the Compliance Department's database;
- Assist in drafting policies and procedures and in maintaining compliance registers;
- Escalate compliance matters to the Regional Compliance Manager on a timely basis;
- Coordinating periodic reviews undertaken by business areas, such as client and risk reviews;
- Assisting in planning, facilitating and assessing training sessions in relation to internal controls, systems and financial crime prevention topics (e.g. anti-money laundering, bribery, etc.);
- Assisting in planning, facilitating and assessing compliance monitoring with policies and procedures such as file testing and audits;
- Providing regular and accurate management reports for compliance monitoring, raising significant matters, concerns or breaches of regulation;
- Keeping abreast with international sanctions regimes and regulatory developments;

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- Engage with key stakeholders of Appleby Mauritius Office, including other Appleby offices to build solid relationships, improve processes, share knowledge and develop a strong compliance culture;
  - Actively participate in internal working groups aimed at improving processes and routines;
  - Assisting the Regional Compliance Manager as directed.

### **Knowledge, Skills and Experience Required**

- Excellent time-management, organizational, interpersonal, presentation, communication and problem- solving skills are essential
  - Bachelor or master's degree in a relevant discipline (law, tax, business or any field deemed relevant)
  - A compliance or legal designation, issued by the ICA/ACAMS/CILEx or other equivalent body
  - A demonstrable understanding of international standards and recent developments in the fields of Money Laundering, Terrorist Financing, Financial Sanctions and Bribery & Corruption by groups such as the FATF, the IMF, the UN, OFAC, HM Treasury etc
  - Previous experience of minimum 1 year in a similar role within a law firm or at a regulated financial service provider
  - The ability to use initiative and work under pressure to meet deadlines, and a willingness to work overtime at short notice as necessary
  - Due to the nature of the position, a high degree of integrity, a proven ability to maintain strict confidentiality and the ability to pay attention to detail is essential
  - A working knowledge of Mauritius regulatory requirements governing the provision of legal services
  - Proficiency using the Microsoft Office suite of applications. Knowledge of FileSite and AdEx would be an asset
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