

COMPLIANCE ADMINISTRATOR

JOB IDENTIFICATION	
Job Title:	Compliance Executive
Reports To:	Head of Compliance
Department:	Compliance
Persons to be supervised:	None

THE ROLE

Purpose:

The Compliance team provides an essential service to Appleby by providing an advisory service to firm personnel and by monitoring firm activities to enable it to comply with the relevant laws, regulations and internal policies.

The Compliance team is required to work with the firm to identify and manage its risk exposure by ensuring that the systems and controls which exist are effective and relevant in order to protect the firm from both internal and external risk factors, whilst encouraging a culture of compliance and ethical standards.

The purpose of the Compliance Administrator role is to provide support to the Compliance Team and firm by conducting the allocated responsibilities in an accurate and timely manner. The role will involve completing duties for Mauritius Office and the Group as needed.

Principal Duties and Responsibilities

- Comply with all relevant internal policies and procedures
- Assist with Customer Due Diligence (CDD) reviews including trigger events and Politically Exposed Persons (PEPs), Sanctions and Liaison notices.
- Undertake client screening and ongoing monitoring to include Conflict Checks, background or equivalent searches

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- Review the output generated by the screening and monitoring activities to decipher the information which should be communicated to the fee earners
 - Engage with key stakeholders of the firm, including other Appleby offices to build solid relationships, improve processes, share knowledge and develop a compliance culture
 - Assist with conducting Internal Monitoring (CMP) of adherence to internal policies
 - Continuous process improvement and sharing best practice
 - Support with regulatory, audit and similar inspections
 - Maintain Compliance Registers
 - Perform ad hoc tasks as required

Knowledge, Skills and Experience Required

Essential

- Knowledge, understanding of the Mauritius prevention of financial crime regulatory framework
 - Excellent attention to detail
 - Self-motivated with an appetite to learn
 - Effective communication skills
 - Planning and organisational skills
 - Flexible, reliable, committed
 - Team player, efficient
 - Customer focused
 - Analytical
 - Assertive
 - Bachelor's degree in a relevant discipline (law, management business or any field deemed relevant);
 - Working knowledge of a Risk Intelligence Database software;
 - Previous experience of minimum 1 year in a similar role within a law firm or at a regulated financial service provider;
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Preferred

- Previous experience of processing client due diligence in a regulated or supervised environment
 - Previous experience of client screening and monitoring activities
 - Willingness to undertake a compliance qualification
 - Experience of background screening software, Microsoft Office and Adex systems
 - General interest in the regulatory environment and current affairs
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