

COMPLIANCE ADMINISTRATOR

| JOB IDENTIFICATION | |
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| Job Title: | Compliance Administrator |
| 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 MLRO/MLCO and firm by conducting the allocated responsibilities in an accurate and timely manner. The role will involve completing duties for the Hong Kong, Shanghai and Shenzhen offices, with occasional support to 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.

- Review the output generated by the screening and monitoring activities to decipher the information which should be communicated to the fee earners.
- Investigating potential high-risk clients or high-risk situations to enable decision making on whether to onboard or not, and provide mitigating measures if onboarded.
- Engage with key stakeholders of the firm, including other Appleby offices to build solid relationships, improve processes, share knowledge and develop a compliance culture.
- Identify the need for new or amended policies and procedures; review and update policies and procedures.
- Implement and monitor the day-to-day operation of compliance policies and procedures.
- Organise, coordinate and complete identified compliance reports in time at the quality level expected.
- Prompting reviews of the Business Risk Assessment and Compliance Monitoring Programme.
- Assist with conducting Internal Monitoring (CMP) of adherence to internal policies.
- Organise, coordinate and complete identified compliance reports in time at the quality level expected.
- Continuous process improvement and sharing best practice
- Support with regulatory, audit and similar inspections
- Undertake Continuous Professional Development (CPD)
- Maintain Compliance Registers
- Perform ad hoc tasks as required

Knowledge, Skills and Experience Required

Essential

- Knowledge, understanding of the Anti-Money Laundering Legislations and Framework
- Proficiency in written and spoken Chinese
- 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 or master's degree in a relevant discipline (law, tax, business or any field deemed relevant);
- Working knowledge of a Risk Intelligence Database software;
- Previous experience of minimum 3 years in a similar role within a law firm or at a regulated financial service provider;

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 Aderant, background searching software and Microsoft Office
 - General interest in the regulatory environment and current affairs
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