

JUNIOR COMPLIANCE ASSISTANT: HK

JOB IDENTIFICATION	
Job Title:	Junior Compliance Assistant
Reports To:	Compliance Officer
Department:	Compliance

THE ROLE

Purpose:

The Compliance team provides an essential service to Appleby Global Services 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 role will involve completing duties for Hong Kong and Cayman offices as required.

Principal Duties and Responsibilities

- Assist with the implementation and maintenance of internal policies and procedures
- Assist with Customer Due Diligence (CDD) reviews including analysing and verifying information and documents on client on-boarding, trigger events and periodic reviews to ensure it meets internal policy and regulatory requirements
- Conduct onboarding/ ongoing client screening and risk assessments using Worldcheck (or similar) and internal systems

- Identify and escalate any potential red flags to the Compliance Officer for STR/ SAR filing and to align with the firm's risk appetite
- Liaise with the corporate services team to request for documents and information during onboarding/ trigger events/ periodic reviews
- Stay informed of updates in compliance regulations
- Maintain Compliance Registers
- Perform ad hoc tasks as required

Knowledge, Skills and Experience Required

Essential

- Strong attention to detail with research and analytical skills Proactive and takes initiative
- Reading and writing ability in Chinese (both simplified and traditional) as well as English
- Effective communication and interpersonal skills
- Time-management and organisational skills
- Flexible, reliable, committed
- Team player

Preferred

- Willingness to undertake a compliance qualification
 - Interested in developing a career in compliance
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