

COMPLIANCE COORDINATOR

JOB IDENTIFICATION	
Job Title:	Compliance Coordinator
Reports To:	Local Compliance Officer / Regional Compliance Manager
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 Coordinator 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

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

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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.
 - 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 improve processes, share knowledge and develop a compliance culture.
 - Identify the need for new or amended policies and procedures; review the update of 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.
 - Support with regulatory, audit and similar inspections.
 - Perform ad hoc tasks as required.

Knowledge, Skills and Experience Required

- Knowledge, understanding of the Anti-Money Laundering Legislations and Framework
- Proficiency in written and spoken Chinese and English
- Excellent attention to detail
- Self-motivated with an appetite to learn
- Effective communication skills
- Planning and organisational skills
- Flexible, reliable, committed team player, efficient
- Analytical
- Bachelor in a relevant discipline (law, tax, business or any field deemed relevant)
- 1-2 years working experience in a similar role within a law firm or at a service provider
