



## CAPITAL ASSET MANAGEMENT LTD

**Post : Compliance Officer/Money Laundering Reporting Officer (MLRO)**

### **Main duties and responsibilities**

1. Ensure appropriate system of internal controls are in place to manage the AML/CFT risks of the Company and its clients and provide a systematic and disciplined approach to assuring compliance with AML/CFT laws, codes and standards of good practice.
2. Implement internal compliance manuals, policies, procedures and systems.
3. Ensure continued compliance with the requirements of the FIAMLA, FIAML Regulations 2018, and The Code on The Prevention of Money Laundering & Terrorist Financing.
4. Prepare and present compliance report to the board and senior management.
5. Manage day-to-day operations of the Compliance and MLRO functions of the Company and its clients.
6. Provide advice and assistance to the Company and its clients on compliance and anti-money laundering matters.
7. Create and manage effective action plans in response to compliance risks and audit findings relating to compliance and AML matters.
8. Assess the company's and clients' operations to determine compliance risk, business risk and client risk.
9. Ensure compliance with obligations under the Data Protection Act and act as the Data Protection Officer for the Company, related companies and clients.
10. Ensure compliance requirements are followed and provide consultative services and training to internal staff and stakeholders as necessary.
11. Ensure the internal audit of the Company and its clients is being done on a timely manner.
12. Be the main point of contact with the Financial Intelligence Unit, the Financial Crimes Commission, the Financial Services Commission (FSC) and other regulatory bodies.
13. Liaise with the FSC for licence applications and other regulatory reporting as and when required.
14. Perform any other cognate duties as assigned by management.

### **Qualifications and Skills**

- A bachelor's degree in law, finance, risk management, accounting, business administration or an alternative equivalent qualification.
- Good knowledge of legal requirements and procedures.
- Meticulous attention to detail.
- Good written communication skills and ability to work under pressure.

### **Experience requirements**

- A minimum of 5 years' experience in a similar position within the financial services sector; **or**
- At least 3 years' experience in a similar position within the financial services sector, subject to having relevant and valid AML/CFT professional certification as per FSC requirements; **or**
- Other alternative acceptable experience.

### **Disclaimer**

The Company reserves the right to call only the best candidate for interview and not to make any appointment following this advertisement.

05 April 2024