

Compliance Officer or Compliance Consultant

Area available: Polokwane, Limpopo

Date: CVs accepted until 28 July

Masthead (Pty) Ltd have positions available (Pretoria) for experienced Compliance Officers to oversee FAIS and FICA related compliance in the Financial Services Industry on behalf of a large compliance practice.

Key result areas and work descriptors

Compliance

- This role delivers an outsourced compliance function to client financial services providers (independent brokers or tied agents) in terms of service level agreements
- The Compliance Officer must be approved by the Financial Services Board (FSB) and is appointed as the Compliance Officer on each Financial Services Provider (FSP) licenses for which they are responsible
- Assumes responsibility for approximately 100 financial services providers.
- Fulfills functions required in terms of FAIS legislations such as monitoring and reporting to the financial services provider and the FSB.
- Establishes and embeds compliance culture across the panel of financial services providers and provides compliance risk framework.

Personal Effectiveness

- Accountable for service delivery through own efforts.
- Individually accountable for managing own time, tasks and output quality for periods of 1 day to a 3 months.
- Makes increased contributions by broadening individual skills.
- Collaborates effectively with others to achieve personal results.
- Accepts and lives the company values.
- Understanding and practical knowledge of Risk Management Principles
- Excellent Presentation skills

Role Qualifications and Competencies

- Legal Degree or Accounting Degree (B COM with Risk Management) or other FSB recognized qualification
- Must have phase 1 FSB approval for Category I. Cat II will have preference.
- A minimum of two years' experience in a compliance or risk management role within the financial services industry.
- Experience in the Financial Services Industry with exposure to Independent Financial Advisors.
- A Certified Financial Planner licensed with the Financial Planning Institute will be an advantage.
- An in-depth understanding of the Financial Services Industry, and more specifically an excellent working knowledge of compliance legislation governing the industry (inter alia FICA and FAIS)
- Computer Literacy
- Willingness to travel, Business Awareness, Client Focus
- Gaining Commitment, Decision Making

- Technical Knowledge, Information Monitoring
- Initiating Action, Self-starter, Ownership
- Effective communication skills – both verbal and written (English and Afrikaans)
- In-depth understanding of member needs as a driver, Outstanding service delivery
- Conflict management skills, Time management skills
- Ability to work under pressure, independently and as part of a team

We welcome compliance officers with their own panel of FSPs who wish to be part of a big practice and enjoy the infra-structure and support it offers or if you are interested in an office bound job doing compliance research and development.

Send your CV: hdelange@masthead.co.za

On application, please indicate that you are applying for the position in **Polokwane, Limpopo**

Consider your application unsuccessful if you do not hear from us within 14 days of the cut-off date