

COMPLIANCE OFFICER

Mpumalanga, with immediate effect

Please address your CV to the appropriate Person and Email Address in this Advert

Reporting to	The Regional Manager in Pretoria
Position Summary	Masthead (Pty) Ltd have positions available 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	<ul style="list-style-type: none"> • The Compliance Officer must be approved by the Financial Sector Conduct Authority (FSCA) and is appointed as the Compliance Officer on each Financial Services Provider (FSP) licenses for which they are responsible • This role delivers an outsourced compliance function to client financial services providers (independent brokers or tied agents) in terms of service level agreements • Assumes responsibility for approximately 80 Financial Services Provider (FSP). • Fulfils functions required in terms of FAIS legislations such as monitoring and reporting to the financial services provider and the FSCA. • Establishes and embeds compliance culture across the panel of financial services providers and provides compliance risk framework.
Personal Attributes	<ul style="list-style-type: none"> • Accountable for service delivery through own efforts. • Individually accountable for managing own time, tasks and output quality. • 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 • Presentation skills

Role Qualifications and Competencies	<ul style="list-style-type: none"> • Legal Degree, B COM with Risk Management or other FSB recognized qualification • Must have phase 1 FSB approval for Category I. • A minimum of three years' experience in a compliance or risk management role. • Experience in the Financial Services Industry with exposure to Independent Financial Advisors. • 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) • A Certified Financial Planner licensed with the Financial Planning Institute will be an advantage. • 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
Note	<p>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.</p>

How to apply:

Address your CV to and Email it to	Heidi de Lange hdelange@masthead.co.za
In the Subject Line write this	COMPLIANCE OFFICER: MPUMALANGA
Cut-off date for this Vacancy is	<u>18 March 2019</u>

Your application will be considered if you are a SA citizen & if your CV meets the above criteria. Should you not have had a response from us within 14 days, please consider your application as being unsuccessful.