

Senior Compliance Officer

Job Title	Senior Compliance Officer
Business Portfolio	OMIG Compliance
Reporting to	Head of Compliance
Location	Cape Town
Closing Date	31 January 2020

The appointment will be made from the designated group in line with the Employment Equity Plan of Old Mutual Investment Group and the specific business unit in question.

Old Mutual Investment Group is a leading asset manager managing more than R600bn of assets offering a comprehensive range of listed and unlisted investment capabilities. Our vision is to generate sustainable long-term returns for our clients that make a difference in their lives. Our mission is to relentlessly pursue investment excellence in order to grow our clients' wealth over the long term. Our interests are aligned with our clients' in that we are committed to investing responsibly along them, for a future that matters. To deliver on our vision, we invest in professionals with exceptional talent, focus and ethics and help them unlock their potential in an environment where teams can galvanise and prosper over time.

Please send all applications to Judy.Henderson@omwealth.co.za and mark as **Senior Compliance Officer Application**. Thank you

ROLE DETAILS	
Role overview	The successful applicant will be responsible for managing Old Mutual Investment Group's (OMIG) Regulatory Compliance Team, which is responsible for managing regulatory risk. This is an exciting opportunity in a diverse financial services company and offers the successful candidate stretch across multiple asset classes and asset management boutiques in an ever-changing regulatory environment.
Key Result Areas	<ul style="list-style-type: none">• Aply managing the team and ensure that a sound regulatory compliance framework and environment is maintained, by means of drafting, implementing and maintaining suitable policies, processes and monitoring frameworks.• Ensure compliance with Old Mutual Group standards, as applicable to regulatory compliance.• Remain abreast of changes to legislation, such that you are able to:<ul style="list-style-type: none">○ Engage the business on changes or requirements in applicable primary legislation.○ Propose solutions that are efficient and effective, given business and environmental factors.○ Provide commentary on impending legislation, and understand how it pertains to the business.• Maintain and enhance OMIG's regulatory training and communication programme, and be comfortable to provide face-to-face training as and when required.• Compile the annual Compliance Plan and Compliance Monitoring Plan (CMP), and ensure execution thereof.• Provide assistance and guidance to the business, and respond to queries on all regulatory compliance matters.

	<ul style="list-style-type: none"> • Investigate, track resolution and report compliance breaches. • Coordinate regulatory engagements, including site visits. • Ensure reporting obligations, both internal and regulatory reporting requirements, are conducted within required timelines. • Liaise with key internal OMIG and the broader Old Mutual Group governance stakeholders. • Actively participate, and represent OMIG, in internal Old Mutual Group subject matter forums.
Requirements: Skills, Qualifications and Experience required	<ul style="list-style-type: none"> • A suitable legal degree. • At least five years of experience in financial services, preferably in asset management, and in a legal or compliance role. • Capable of being approved as a compliance officer by the Financial Sector Conduct Authority. Being eligible for approval as a JSE Compliance Officers (Bonds and Derivatives) would be advantageous. • Understanding of key legislation that impacts asset management and regulatory developments, including FICA and FAIS. • Having fulfilled a role as a compliance officer within an asset manager, and experience with JSE member compliance within a bond/derivatives broker would be considered advantageous. • Ability to think of innovative and/or efficient solutions. • Ability to influence and build excellent external and internal working relationships. • Ability to function and influence at all levels in the organisation including executive level. • Excellent planning and organising skills.
Competencies	<ul style="list-style-type: none"> • Accuracy • Adaptability • Communication • Analysis • Decision making • Independent work • Gaining commitment • Initiating action • Problem solving • Quality orientation • Stress tolerance • Technical/ Professional knowledge