

Nicholas Litton

Nomination standing for elections

Annexure D6

NICHOLAS BRIAN LITTON

Nicholas has almost 30 years' experience in the legal and compliance profession, during which time he has created a strong reputation throughout his wide network of colleagues. He has held senior compliance roles in the FirstRand group for the last 20 years and has always believed in growing the function not only through his principles of integrity and independence but also through recruiting and developing talent in the field. Nicholas notes an example where he would take the opportunity to talk to legal graduates being hosted at FirstRand about the compliance profession and the opportunities available to them in the field which most were unaware of.



When Nicholas joined RMB in 2012 he worked with a leading consulting firm on a detailed analysis of the role of compliance and the elements of a successful compliance target operating model (TOM). The finalised TOM became the foundation for the FirstRand Compliance operating model, and Nicholas has remained passionate about equipping compliance officers with an understanding of the skills and tools they need to be successful in their roles. For the last few years, he has presented a half-day module at the in-house FirstRand Compliance Programme at Henley Business School on the Compliance Framework and the basics of a successful compliance programme.

In his current role at FNB Nicholas has focused on keeping the TOM relevant and up to date, and is sponsoring programmes aimed at enabling a platform driven compliance function, with projects focused on aspects such as automated monitoring (including machine learning and AI monitoring), as well as automated reporting and data-driven insights. This includes the recruitment of data skills into the monitoring team.

Nicholas' role at FNB will be changing during June 2022 to enable him to focus more directly on the TOM elements and driving the various automation projects. He has therefore seen this as an opportunity to spend more time giving back to the profession by joining the board of CISA and sharing not only his practical experience in the field but also his insights into the future of compliance.

ABRIDGED CURRICULUM VITAE

TERTIARY QUALIFICATIONS AND COURSES

- Bachelor of Commerce (BCom), 1986-1988, University of the Witwatersrand (WITS)
- Bachelor of Laws (LLB), 1988 – 1990, University of the Witwatersrand (WITS)
- Admitted Attorney (non-practicing roll)
- Certificate of Proficiency–Short Term Insurance I, September 1998, The Insurance Institute of South Africa (IISA)
- Diploma in Insolvency Law and Practice, March 1999 (Duration 1 Year - Part Time), The Association of Insolvency Practitioners of South Africa (AIPSA)
- 2 Day Compliance Monitoring Workshop, July 2007, Strategic Executive Programs
- Executive Development Programme, November 2010 (Duration 6 months), University of Stellenbosch Business School
- Compliance Risk Management, 24-26 June 2013, Euromoney Training (London)
- CIPM (Certificate in Privacy Management), 2018, International Association of Privacy Practitioners (IAPP)
- Affiliate Member Compliance Institute of South Africa (current)
- Numerous in-house personal development training programs including
 - LeadRMB (with modules focused on Leadership; Delegating for Productivity & Growth; Communication Mastery; Systems Mastery; Coaching)
 - Omnicor (Coaching skills)

EMPLOYMENT HISTORY

EMPLOYER FNB (First National Bank), a division of FirstRand Bank Limited

DURATION 1 October 2019 to 31 December 2019 (Double hatting as Head of RMB & FNB Compliance)

1 January 2020 to present

POSITION FNB Head of Compliance

EMPLOYER RMB (Rand Merchant Bank), a division of FirstRand Bank Limited

DURATION 1 July 2012 to 1 October 2019

POSITION Head of Compliance

EMPLOYER WesBank, a division of FirstRand Bank Limited

DURATION 15 July 2002 to 30 June 2012

POSITION Head of Legal, Risk & Compliance

EMPLOYER Deloitte & Touché Business Law Solutions

DURATION 1 January 2000 to 14 July 2002

POSITION Legal Manager

EMPLOYER TA Bank of South Africa Limited

DURATION 1 October 1998 to 31 December 1999

POSITION Legal Manager – Corporate Finance

EMPLOYER Hofmeyr Attorneys

DURATION 1 January 1997 - 30 September 1998

POSITION	Professional Assistant (Attorney)
<u>EMPLOYER</u>	The Department of Justice (South Africa)
DURATION	21 September 1992 – 31 December 1996
POSITION	Assistant State Attorney (6 August 1996 to 31 December 1996)
POSITION	Candidate Attorney – State Attorney Johannesburg (1 May 1994 to 6 August 1996)
POSITION	Public Prosecutor (21 September 1992 to 30 April 1994)