

JOB PROFILE

Job Title	Post-investment Management ("PIM") Monitoring and Compliance Officer ("MCO")	Department and Location	Capital Johannesburg/ Cape Town
Job Purpose	The role provides monitoring & compliance ("M&C") support to the Post-investment Management ("PIM") team		
Reports To (Position)	Head of PIM	Reportees (Position)	None
Qualifications	Bachelor's degree (preferably in finance or legal)	Experience	1-3 years in a similar M&C role. Background in financial and / or legal environments preferable. Investment industry exposure / experience.

Core Activities

Monitoring and Compliance

- All investments' legal compliance must be in order.
- Escalate non-compliance, as appropriate, to PIM IA's to remedy with investee management. Escalate unresolved requests (>30 days) to the head of PIM.
- Create and maintain an electronic undertakings checklist per individual investee & a consolidated portfolio view.
- Perform two full undertakings compliance reviews per year for active investments.
- Complete and maintain a detailed consolidated Investee Compliance Report on all compliance findings, ranking non-compliance by risk category.
- Create and maintain a historical (electronic) compliance history per investee.
- On an annual basis, ensure investee securities are in place and enforceable.
- Monitor all aspects of investment disbursements & collections.
- Follow up on non-payments with IA's, PIM Head and preparation of Notifications of Default.
- Ensure that PIM reporting, in relation to credit control, is accurate and reconciles to the PIM dashboard at all times.
- Assist with the preparation and presentation of required PIM reports.
- Record all securities required as per legal agreements and registered by the Fund (securities register). Safeguard original documents if required.
- Record (new) signed or notarised copies of legal agreements of transactions. I.e. ensure that what should be there is there.

- Follow-up on investees with the registration of notarial bonds and other security requirements (ensure completion of process).
- Scan and log all the above into the applicable SharePoint folders.
- Assist in the review of legal agreements (Transaction Documents) for all new deals.
- Monitor investee compliance in terms of legal / regulatory compliance.
- Support with investee 100-day plan preparation.

Legal

- Regular review of legal agreements to ensure that if the fund has certain rights and obligations to adhere to that they are being met.

Growth Support

- Provide support for all Growth Support, governance or 10Xe deliverables as and when required.

Portfolio Management

- Provide support to the PIM team in relation to the management of portfolio companies.
- Maintain the PIM Investment Calendar to track and alert of significant investee events (e.g. loan payments, undertakings etc.)

Operations and Administration

- General operational and administrative support as and when required.

Leadership Competency	Proficiency Level
Innovation	Basic
Customer Centric	Basic
Core Competency	Proficiency Level
Change Agile	Basic
Emotional Intelligence	Basic
Communicates with Impact	Basic
Operational Excellence	Intermediate

Problem Solver	Basic
Technical Competency	Proficiency Level
Legal due diligence 2	Basic
Investment committee reporting	Basic
Corporate Governance	Basic
Compliance Management	Intermediate
Legal Compliance	Intermediate

I have reviewed and determined that this role description accurately reflects the position

Manager signature	Date	Employee signature	Date
<i>A Buchanan</i>	21 June 2018		

The above declarations are not intended to be an all-inclusive list of the duties and responsibilities of the role described, nor are they intended to be such a listing of the skills and abilities required to perform the work. Rather, they are intended only to describe the general nature of the role.