



JOB PROFILE

Job Title	Compliance Analyst	Department and Location	Ventures Johannesburg
Job Purpose	In this role you will be responsible for ensuring that appropriate processes, systems and structures are in place to manage compliance with the Company's regulatory obligations.		
Reports To (Position)	Head of Compliance	Reportees (Position)	N/A
Qualifications	<ul style="list-style-type: none"> B Comm/LLB, finance, business administration or a related field At least 3 - 4 years' experience in compliance within the financial services industry. 	Experience	<ul style="list-style-type: none"> 3 - 4 years in the financial services sector, preferably in a Compliance related role Preference will be given to candidates with strong MS Office Skills (Word, Excel, PowerPoint) Client and stakeholder relationship management experience favourable. Knowledge of legal and regulatory requirements and controls (e.g. Anti-Money Laundering, FICA, FAIS, POPIA, Companies Act, King IV)

Core Activities

Compliance Management

- Manage and support the Head of Compliance with the implementation of regulatory compliance across the various Funds.
- Drive and manage annual Compliance rhythms.
- Manage signing and storage of Compliance related agreements.
- Support the management of legal opinions.
- Create and manage effective action plans in response to audit discoveries and Compliance violations.
- Conduct annual updates and reviews on existing Compliance Policies.
- Attendance and representation at all applicable Fund forums.
- Regularly audit company procedures, practices, and documents to identify possible weaknesses or risk.
- Ensure all employees are educated on the latest regulations and processes.
- Manage FICA requirements across the Funds, including but not limited to conducting monitoring exercises across the Funds.
- Familiarise yourself with our KYC solution, Docfox and assist employees on an on-going basis.
- Manage the FAIS Competence Register, including the registration and removal of Reps and KIs.
- Evaluating, monitoring and reporting on the compliance risks across the business and mitigating identified risks,

Corporate Governance

- Provide governance support across the various Funds as and when required.
- Provide company secretarial (CIPC) support to the Ventures team and Funds as and when required.
- Provide Board and Corporate Governance support to the Ventures team and Funds as and when required.
- Manage the Compliance Centre of Excellence for Corporate Governance
- Interface with key stakeholders on any ad hoc communications

Project Management

- Manage the post integration set up of new funds.
- Support the Head of Compliance with the set up of new Funds.
- Prepare for and manage strategic Compliance events.

Compliance Process Optimisation

- Understand Compliance policies and procedures.
- Suggest improvements to Compliance processes and implement improved processes.

General Reporting

- May be required to provide information to the Fund and/or Functional Heads from time to time.

ensuring full compliance with all applicable regulations, company policies and best practices.

- Drive compliance awareness by encouraging a compliance culture across the business.
- Escalating material / significant compliance / non-compliance issues, i.e., irregular activities and/or potential issues in policies or systems to the Compliance Team and the affected stakeholders within the business.
- Effectively working to ensure that all company activities are compliant with applicable regulations, current laws and policies.

Leadership Competency	Proficiency Level
Customer Centric	Advanced
Innovation	Intermediate
Owner leader	Intermediate
Transformation	Intermediate
Care and Growth Nurturer	Basic
Core Competency	Proficiency Level
Operational Excellence	Advanced
Change Agile	Intermediate
Emotional Intelligence	Intermediate
Communicates with Impact	Intermediate
Problem Solving	Intermediate
Teamwork	Basic
Team Engagement	Basic
Integrity and Professional Ethics	Advanced
Technical Competency	Proficiency Level
Compliance Management	Advanced
Client Relationship Management	Advanced
Project Management	Intermediate
Business Process Optimisation	Basic
Procurement Management	Basic
Attention to Detail	Basic

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

Manager signature	Date	Employee signature	Date
T.Chockalingam	30.03.2022		

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.