

**1. GENERAL INFORMATION**

<b>Role Title</b>	Legal and Compliance Officer
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**2. WORK OUTPUT DESCRIPTION / PURPOSE STATEMENT OF THE JOB**

- The purpose of this position is to be responsible and to assist in the management and effective rendering of legal and compliance services to all business units as well as to ensure best legal practice and manage and mitigate legal risks on behalf of the company.
- This position is responsible for managing and providing proactive, in-depth legal and compliance-focused tasks and analysing and identifying the legal risks and implications of all the business transactions within area of responsibility.
- The position is also tasked with keeping the organisation informed of any new legislation/regulations that potentially affects the business of the Company and generally coordinating all legal and/or compliance matters requiring internal and/or external assistance.
- Assist the Organisation in fostering the promotion of good governance to achieve ethical and effective leadership outcomes aimed at meeting the objectives of the AITF.

**3. CORE WORK OUTPUTS [INCLUDES BUT IS NOT LIMITED TO THE FOLLOWING]**

KEY PERFORMANCE AREAS / AREAS OF RESPONSIBILITY	OUTCOMES / DELIVERABLES / MEASUREMENT CRITERIA
<b>GOVERNANCE AND RISK</b>	<ul style="list-style-type: none"> <li>• Generally assist in the maintenance and implementation of a Corporate Governance Framework for the AITF.</li> <li>• Conduct an annual review of the Compliance Monitoring Schedule.</li> <li>• Manage and implement the AITF code of conduct, compile compliance and ethics policies, enforce compliance and ethics, conduct compliance and ethics training and conduct governance compliance investigations.</li> </ul>
<b>COMPLIANCE &amp; REPORTING</b>	<ul style="list-style-type: none"> <li>• To anticipate and manage the (legal) risks connected with or resulting from the business strategy and operations.</li> <li>• Managing and ensuring compliance with applicable legislation, regulations, policies and procedures including but not limited to legislation relevant to the financial and/or investment industry.</li> <li>• Developing and executing relevant compliance reports/projects and monitoring such compliance with relevant data protection laws and/or company policies, including the assignment of responsibilities.</li> <li>• Manage and mitigate compliance risk and ensure adherence to legislation, policies and procedures.</li> <li>• Provide compliance support as and when required.</li> <li>• Manage, create and maintain the organisation’s risk register.</li> <li>• Manage wide-ranging issues such as data usage/privacy, intellectual property, compliance, regulatory, and tax by partnering with subject matter experts in these areas and other stakeholder teams and balancing these issues against reputational risk to ensure commercial agreements are consistent with corporate strategy, internal policies and procedures and applicable laws and regulations.</li> </ul>

KEY PERFORMANCE AREAS / AREAS OF RESPONSIBILITY	OUTCOMES / DELIVERABLES / MEASUREMENT CRITERIA
	<ul style="list-style-type: none"> <li>• Execute the governance and compliance initiatives across the business areas by managing the legal and compliance business risks.</li> <li>• Keep on top of relevant legislative, regulatory and industry changes and assess impact of any new legislation providing updates to Head of Legal when required.</li> </ul>
<b>LEGAL ADVISOR</b>	<ul style="list-style-type: none"> <li>• Manage and oversee the company's commercial contracting purposes, including contract forms and legal contracts repository.</li> <li>• Draft legal documents and/or contracts for relevant organisational transactions by participating in the contract negotiations, gathering all required information, drafting the document, checking for legal completeness and compliance and distributing for approval.</li> <li>• Provide legal support as and when required.</li> </ul>
<b>FICA RESPONSIBILITIES</b>	<ul style="list-style-type: none"> <li>• Responsible for ensuring that the institution complies with FICA's requirements and for reporting any suspicious transactions to the Financial Intelligence Centre (FIC).</li> <li>• Stay updated with FICA regulations, Guidance Notes by the FIC, and the organization's RMCP.</li> <li>• Contribute to establishing, implementing and maintaining a risk-based compliance plan on an annual basis.</li> <li>• Establish and manage the organization's compliance function as per FICA requirements.</li> <li>• Assist in the annual review of the RMCP by Senior Management.</li> <li>• Ensure organization registration with the FIC and maintain "goAML" login details.</li> <li>• Initiate and facilitate product and/or service ML/TF/PF Risk Analysis processes.</li> <li>• Conduct periodic screening of clients and employees against sanction lists.</li> <li>• Monitor compliance with Cash Threshold Reports, Suspicious or Unusual Transaction Reports, and Terrorist Property Reports.</li> <li>• Ensure retention and backups of all FICA Transaction Records and Client Due Diligence Records.</li> <li>• Organize annual FICA Awareness Training for employees.</li> <li>• Conduct periodic reviews of Senior Management Approval Procedure, Client Due Diligence Activity Sheet, and Client Due Diligence Forms.</li> <li>• Perform ongoing Due Diligence and Monitoring of Existing Business Relationships.</li> <li>• Conduct random spot checks on clients for various compliance measures.</li> <li>• Monitor compliance with Client Due Diligence procedure and Additional Information on a New Business Relationship.</li> </ul>

#### 4. JOB SPECIFICATIONS

<b>Educational Level / Qualifications</b>	<ul style="list-style-type: none"> <li>• BCom Law / Bachelor of Laws (LLB) or equivalent legal qualification.</li> </ul>
<b>Advantageous (Educational Level / Qualifications)</b>	<ul style="list-style-type: none"> <li>• Attorney.</li> <li>• Thorough understanding of FICA provisions, regulations, RMCP as well knowledge of compliance systems.</li> <li>• Risk grading and rating experience will be advantageous.</li> </ul>
<b>Previous Work Experience</b>	<ul style="list-style-type: none"> <li>• At least 3 to 5 years –             <ul style="list-style-type: none"> <li>(i) FICA knowledge and experience.</li> <li>(ii) post admission experience in a compliance a well as corporate and commercial environment (essential).</li> <li>(iii) relevant compliance experience within the financial services / investment industry or similar regulated industry is essential.</li> <li>(iv) experience in competition law, contract drafting, data privacy and protection, anti-money laundering laws.</li> </ul> </li> <li>• Solid and strong drafting is essential.</li> <li>• Ability to train others and to work under pressure</li> <li>• Deadline driven and self-managed</li> <li>• Problem-solving, negotiation, decision making analytical skills, strong ethical conduct.</li> </ul>
<b>Legal requirements</b>	<ul style="list-style-type: none"> <li>• Clean criminal and credit records.</li> <li>• Non-practising member of the Legal Practice Council.</li> </ul>