

## JOB DESCRIPTION

**Job Title:** Compliance Officer

**Role Reference:** SNPHK73

**Jurisdiction:** Hong Kong

**Department:** Compliance

### **About Us**

As a respected and trusted professional partner to a broad range of corporate, private, and institutional clients worldwide, we are continually looking for opportunities to evolve our business while providing clients with the best possible services.

Due to ongoing expansion and our commitment to providing best-in-class solutions, we are looking for an experienced and dedicated individual to expand our compliance function in Hong Kong. You will help ensure compliance with the Hong Kong Trust & Company Service Provider License requirements and also assist the Global File Review team with carrying out file reviews of client files.

### **About the Role**

As the Compliance function within the Hong Kong office, you will work with the local management team and our global compliance department in developing and maintaining a good compliance culture. You will be responsible for managing compliance risk throughout the Hong Kong office and ensuring compliance with relevant ordinances, regulations, reporting requirements and controls imposed through the Hong Kong Trust & Company Service Providers License requirements and the Board of Directors. Your duties will include:

- Develop, implement and embed an effective approach to regulatory compliance framework and procedures to ensure they are maintained and conduct compliance monitoring testing in accordance with regulations;
- Providing regular compliance monitoring reports for the HGC, in addition to timely advice and practical guidance and training for the wider office;
- Providing consistent guidance or feedback with respect to Customer Due Diligence and Enhanced Customer Due Diligence to the administration and review teams;
- Maintaining various compliance registers;
- Assisting with external audits and the preparation of Due Diligence audits;

- Reviewing prospective new business and/or changes to structures, ensuring that client take-on procedures and adequate CDD requirements are met;
- Work with the Global File Review team to deliver allocated file reviews, concentrating mainly on the Asian business and associated files.

### About You

You will be an effective problem solver with the ability to initiate and manage change. You will also have 2-3 years good working knowledge and practical experience of the Hong Kong Trust & Company Service Providers ordinance. The following attributes would also be advantageous:

- Degree and/or relevant professional qualification (such as an ICA Certificate or Diploma);
- Strong interpersonal skills and the ability to work with people at all levels;
- Excellent organisational skills with the ability to work under pressure and to guide and direct others to meet deadlines and targets; and
- The ability to work both independently and under supervision.
- Skilled in both Mandarin and Cantonese languages

This is an exciting opportunity to join a growing team and develop new ways of working, where you will have the opportunity to input into the evolution of our business processes on an ongoing basis. In addition to a competitive salary, you will be rewarded with a performance-driven bonus, a comprehensive flexible benefits package, and the training and career opportunities that come as standard with a dynamic and rapidly growing group of companies.

## JURISDICTION OVERVIEW

Our Hong Kong office is located in the On Building in Central Hong Kong. Our team speaks a variety of languages, including Cantonese, Mandarin, English and Sri Lankan.

## KEY PEOPLE

- Rose Chan
- Seb Turner
- Andy Pryke