

## **Job Profile**

### **Graduate Trainee - Legal & Compliance**

1. **JOB TITLE:** Graduate Trainee – Legal & Compliance

2. **DEPARTMENT:** Compliance

3. **REPORTS TO:** Head of Legal and Compliance

#### **4. PURPOSE OF THE JOB**

- To ensure that the company operates within the confinement of the compliance framework both internally and externally. The internal framework is from the organization’s Standard Operation Procedures whilst the external framework is from the regulator’s perspective.

#### **5. JOB SUMMARY**

- To offer support to the Legal and Compliance Manager in ensuring that Get Bucks and its subsidiaries are conducting business in full compliance with all laws and regulations pertaining to the industry as well as accepted business practices and internal policies. To assist in establishing, coordinating and monitoring the Anti-Money Laundering compliance programs for the company and its subsidiaries.

#### **6. JOB SPECIFICATIONS**

##### **i. FINANCE**

- Support the coordination of policies and programs designed to minimize and/or alleviate actual and potential risk to ultimately minimize financial losses.
- Assist the reporting line in conducting compliance assessment of policies and compliance standards, including liaison with internal and external stakeholders.
- Ensure proper compliance management on MLTF to avoid statutory penalties.

##### **ii. CUSTOMER AND INTERNAL STAKEHOLDER MANAGEMENT**

- To assist in establishing coordinating and monitoring compliance for the company and its subsidiaries.
- Ensure that all AML and compliance issues occurring in the business units are recorded, actioned, and reported to the Risk, Legal and Compliance Manager.
- Provide an excellent customer service experience.
- Responsibility for reporting suspicious transactions.

##### **iii. INTERNAL PROCESSES (OPERATIONS)**

- Ensure management of compliance risk by monitoring and implementing the compliance program.

- Assist in facilitating the identification of key compliance obligations, with the support of Risk, Legal and Compliance Manager and the relevant departments, and translating those requirements into actionable policies and procedures.
- Assist in establishing, monitoring and measuring compliance performance, analyzing performance to identify the need for corrective action.
- Assist in ensuring that compliance capabilities and performance metrics are factored into contracts with external suppliers.
- Monitor changes in activities and ensuring that risks arising from any significant changes are considered within the risk framework.
- Ensure reviewing and assessing alerts for money laundering risks and liaising with the business areas that needs alignment.
- Establish and maintaining Customer Due Diligence risk rating and monitoring program to include initial and on-going assessments and reviews on unusual activity.
- Ensure that all required reports are timely delivered to Risk, Legal and Compliance Manager.
- Ensuring that management is made aware of all pressing issues timeously.
- To conduct training to all staff on applicable pieces of legislation including ML/TF.
- Assist in ensuring the validation of STRs and reporting of same to Eswatini Financial Intelligence Unit.
- Perform ML/TF Risk assessment quarterly and ensure that all business units report suspicious transactions.
- Responsible for establishing and maintaining manual of compliance procedures in relation to the business as the R, L&C Manager may from time to time require.
- Responsible for ensuring compliance by staff of the accountable institution with the provisions of the Act and any other law relating to ML/TF.
- Ensure proper identification of PEPs and effect proper due diligence.

**iv. LEARNING AND GROWTH (PEOPLE)**

- Ensure consistent adherence to the Company's Vision and Values.
- Building and maintaining good relationships with other staff as measured by 360 degrees.
- Ensure that performance management processes are adhered to timeously.
- Ensure alignment to Company Strategy.

**7. PRINCIPAL ACCOUNTABILITES:**

- Identifies, develops and assists with the management and control of compliance risks
- Collects and updates all relevant client information and documentation
- Provides confidential and quality compliance services
- Performs and reports on due diligence procedures
- Advises on changes in laws and regulations in regards to money laundering
- Provides compliance assistance to other departments on a range of cases
- Communicates relevant changes to colleagues on compliances matters
- Researches and develops work materials pertaining to this field
- Assess company operations to determine compliance risk.
- Resolve employee concerns about legal compliance.
- Handle Ad-hoc assignment as assigned
- Reviews and drafts legitimate documents and reports

**8. KNOWLEGDE**

- Knowledge of country regulatory of the financial/banking services
- industry and legislation including micro finance
- Good understanding of corporate governance, regulatory and financial
- compliance requirements

**9. MINIMAL EDUCATIONAL REQUIREMENTS:**

- Degree in Law and admitted to the High Court of Eswatini
- A certificate in Anti-Money Laundering and Compliance will be an added advantage

**10. EXPERIENCE AND TECHNICAL KNOWLEDGE:**

- Technical understanding of the compliance agenda
- Understanding of the regulatory framework

**11. COMPETENCIES AND SKILLS:**

- Good knowledge of legal requirements and procedures
- A high degree of autonomy and responsibility
- Brilliant oral and written communication skills.
- Highly-analytical with strong attention to detail
- Detail-oriented and organized
- Proven ability to work under pressure and to meet deadlines.
- Good computer literacy (MS Office, Excel, Power Point).
- Ability to receive and execute instructions.
- Strong analytical skills.
- Financial and business acumen essential.
- Report writing. Analysis and presentation essential.