

ASSOCIATE MANAGER-REGULATORY COMPLIANCE OFFICER-COMPLIANCE

THE JOB

- Assist the Team Leader - Regulatory Compliance [RC] in managing compliance risks by providing advisory services to stakeholders of the Bank / Group on regulatory requirements, developing, implementing and validating regulatory processes, Conducting Training, implementing the Corporate Governance Framework of the Bank and carrying out monitoring to determine level of Compliance and the compliance risk management system
- Supporting Compliance Officer to ensure that Regulations issued by CBSL/ other regulatory bodies (as appropriate) from time to time are circulated to the relevant Departments and drafting explanatory notes and internal circulars where necessary
- Carrying out compliance reviews which are required to be carried out in the 2nd line control function in accordance with the Compliance program of the Bank and providing recommendations to the relevant business lines to ensure compliance
- Assist preparing Board / Sub Committee correspondences in relation to the Statutory Examination
- Preparation of Clear Documentation that needs to be submitted to the Regulator in line with the internal policies/PPGs/processes issued by the Bank
- Ensure Outsourcing Reporting is carried out whilst coordinating with the Outsourcing committee
- Timely reviews of the policies under the purview of Compliance
- Review and suggest value additions to develop and periodically revise the policies governed under Compliance.
- Assist the Team Leader - RC to identify and implement cost optimization initiatives
- To ensure that safe keeping of all compliance related critical documents of the Bank (Ex; Confidential Declarations Etc.)
- Timely CBSL reporting's assigned to Compliance department
- Preparation of the IRMC Report, Board Reports and provide Inputs and value additions for Operation Risk Activities and follow up on subsequent actions
- Managing Customer Complaints received from FCRD/ Attending to Financial Ombudsman (FO) hearings with timely responses for same and maintain records
- Monitoring share trading activities during the blackout periods & reporting as required
- Assist the Team Leader - AML Compliance in managing AML/FCC compliance risks faced by the Bank and in developing and implementing processes to ensure that the operations of the Bank are in compliance with and are conducted in accordance to applicable laws and regulation and thereby minimizing the risks of non-compliance;
- Assist Implementation of the AML program of the Bank and thereby minimizing the risk of the Bank being used for money laundering and terrorist financing purpose
- Carrying out AML transaction monitoring on the AML System in respect of the customers of branches that have been allocated to the Employee

THE PERSON

- Possess full/part qualification in Banking/operations or Compliance
- Possess minimum 7 years' of experience in Audit, Compliance, Legal or Banking Operations
- Pay attention to detail and be able to work under pressure
- Possess good communication, presentation and negotiation skills
- Possess analytical and problem solving skills

Please login to <https://www.ndbbank.com/careers> to apply on or before **27th November 2023**



We will correspond only with the shortlisted applicants
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Vice President Human Resources