

# Compliance Executive

February 2021

Trident Trust is a leading independent provider of corporate, trust and fund services to the financial services sector worldwide, employing over 900 staff across a global footprint that spans Africa, the Americas, Asia, the Caribbean, Europe and the Middle East. We are seeking talented professionals to join our thriving, award-winning, 80-person-strong Mauritius office. Client focussed and service oriented, we only employ individuals who are professionally minded, committed and able to demonstrate good interpersonal skills.

## The Role

The compliance executive will assist both the manager of legal and compliance, and the compliance officer for client services, with their responsibilities and in doing so act as a compliance officer with respect to risk and compliance-related matters for clients. This means the individual will provide support to and oversight of the clients' operations to ensure client entities are compliant with existing laws and regulations.

## Duties

- At all times comply with and observe all anti-money laundering and counter-terrorist financing policies and procedures as stated in Trident's compliance manual
- At all times comply with all policies and practices outlined in the employee handbook, policies and procedures documents (including group policies) and any other regulations and legislation applicable to the operations of Trident Mauritius
- Review frequently and maintain working knowledge of the provisions of the anti-money laundering and countering the financing of terrorism (AML/CFT) laws and regulations, Financial Services Commission (FSC) AML/CFT code and handbook, and other relevant acts material to the discharge of the essential functions of this job
- Report suspicious transactions to the money laundering reporting officer (MLRO)
- Complete tasks assigned by the manager of legal and compliance within the prescribed timeframes and escalate any issues or concerns, as necessary, to the compliance officer
- Conduct comprehensive file and risk reviews as required; this includes conducting screenings, updating risk ratings, reporting findings and escalating exceptions
- Document changed or new policies and procedures as necessary
- Undertake post-client take-on monitoring checks (including work on triggering events) in line with the

methodology and timeframes agreed with the compliance officer; this includes providing clear feedback on the results of testing to the client teams, and reporting in an agreed format to the compliance officer and heads of departments

- Assist with FSC remediation points as allocated
- Train others as determined by the compliance officer or Trident Group
- Support the risk framework as directed by the compliance officer; this may include producing or updating risk matrix, risk registers or any other relevant registers
- Substitute, deputise or otherwise assist with the compliance duties of the client services team
- Support other activities or projects as required by clients
- Perform any related duties as assigned by the manager of legal and compliance or the boards of Trident or its clients
- Attend and participate in meetings including contributing, taking action and performing other tasks as required
- Ensure prompt implementation of the AML/CFT framework adopted by the client
- Enact proper control measures to effectively monitor the AML/CFT framework
- Prepare periodic reports on the AML/CFT framework implementation for submission to the board
- Prepare periodic administrator's reports for consideration by the board
- Ensure that the AML/CFT framework is properly updated based on revisions to laws and regulations
- Liaise with C&A Law to discuss client matters, as necessary, and come up with solutions
- Review updates provided by C&A Law regarding new laws, and, as required, disseminate internally and/or conduct training
- Issue compliance officer and MLRO reports, and present to the boards of client entities

## Qualifications and Skills

- Applicants should have at least a degree in finance, economics, commerce, business administration, or law and management from a recognised institution
- Applicants should have started or undertaken to start a professional qualification (ACCA/ICSA/STEP) or equivalent
- At least three (3) years of relevant work experience

- Good communication skills, both verbal and written
- A high level of accuracy and attention to detail
- Quick learner who can adapt to different work environments
- Ability to work under pressure
- Proficient in Microsoft Office tools and with information technology in general

#### Training

Not only will on-the-job training be provided, but Trident offers employees the opportunity to enhance their technical knowledge and experience by providing a financial assistance package, by way of a bond, which promotes further studies in a structured environment.

#### Remuneration

Salary commensurate with experience and qualifications.

#### Applications

Applications should include a full C.V. and will be treated in the strictest of confidence. Please submit applications to [mauritius@tridenttrust.com](mailto:mauritius@tridenttrust.com).