



## **VACANCY – SENIOR LEGAL & COMPLIANCE OFFICER**

Genghis Capital is an innovative and customer focused Investment Bank licensed by the Capital Markets Authority (CMA) and is a participant of the Nairobi Securities Exchange (NSE). Since its inception in 2008, the firm has grown tremendously and has expanded its services beyond stockbrokerage to well-diversified portfolio of financial services that includes: Securities(Equity/Fixed Income) Trading, Research, Wealth Management services, Unit Trust Funds and Corporate Finance & Transaction Advisory services.

### **About the Job:**

Reporting to Head of Legal & Compliance the job holder will provide support the business towards the overall achievement of the Organization's business goals and objectives through the Legal and Compliance Function.

### **Key Responsibilities**

#### **Legal Function**

- Provide legal advisory services on legal matters related to the company and ensure that all activities are in line with the applicable law
- Instructing, Regular follow up, co-ordinate, evaluate and support the external legal service providers
- Provide specialized support service to the company in all legal & Compliance related and intellectual property issues
- Review/Prepare Contractual documents
- Review legislation enacted/amended from time to time to advise the bank on the position of the law as it relates to the company.
- Review and amend the company's standard documents from time to time to ensure better protection of the company's interest.
- Train staff on Law relating to capital markets and other relevant areas.
- Maintenance and compilation of necessary, hard and soft databases.
- Liaise with the HOD to adapt the legal policies of the company while ensuring compliance to all local legal and statutory requirements within the region
- Assist in maintaining the seal and all legal documents of the company.
- Identify and evaluate legal & Compliance risk impacting on the company and also manage the addressing and limitation of all such risks
- In collaboration with the Assurance teams to provide guidance and support on investigative audits
- Liaison with internal and external key stakeholders on all legal matters.
- Preparing Annual returns for filing

#### **Compliance Function**

- Implementation of the compliance program for the organization.
- Spearhead identification, assessment, mitigation and monitoring of compliance risks.
- Coordinates compliance activities.
- Respond to alleged violations of rules, regulations, policies, procedures, and Standards of Conduct.

- Act as an independent review and evaluation body to ensure that compliance issues/concerns within the organization are being appropriately evaluated, investigated and resolved.
- Ensure proper reporting of violations or potential violations to duly authorized enforcement agencies as appropriate and/or required.
- Perform compliance monitoring activities and submit reports on a scheduled basis.
- Act as a point of reference on compliance matters to all staff.

### **Education & Experience:**

#### **Academic Qualifications**

- Bachelor of Laws from a recognized institution

#### **Professional Qualifications and affiliations**

- Kenya School of Law- Postgraduate Diploma
- Member of Law Society of Kenya and in good standing
- Be an Advocate of the High Court of Kenya and holder of a valid practicing license
- Member of the Institute of Certified Public Secretaries of Kenya with good standing (added advantage)

#### **Specialist Knowledge (Indicate the additional specialist skills the job requires in addition to qualifications)**

- Litigation experience
- AMLCFT
- Fraud mitigation,
- Knowledge and practical experience of managing corporate
- Corporate finance advisory skills are an added advantage
- Finance and Capital Markets knowledge are an added advantage

#### **Minimum work Experience**

- 3+ years post admission

### **Required Skills**

- Listening skills
- Results oriented
- Strong Leadership and Interpersonal skills
- Strong conceptual, documentation and presentation skills;
- Strong understanding of legal systems
- Excellent communications skills necessary for interaction
- Excellent logical and examination skills;
- Ability to provide independent advice (orally and in writing)
- Attention to Detail

If you meet the above qualifications, please apply by sending your CV and Cover Letter to [careers@genghis-capital.com](mailto:careers@genghis-capital.com). All applications must be received by 11th January 2019.