



VACANCY: SENIOR RISK & COMPLIANCE OFFICER

Genghis is regulated under the Capital Markets Authority (CMA) and licensed by the Retirement Benefits Authority, with **Genghis Capital** and **Genghis Asset Management** running two distinct Investment banking and Asset Management business lines. The Firm has a well-diversified portfolio of financial services that includes: Fund Management, Private Wealth, Securities Trading, Research, Corporate Finance & Transaction Advisory services.

Job Purpose/Mandate: To execute the Risk & compliance management programs of the firm with an effort to support the business needs towards the overall achievement of the Organization's business goals and objectives.

Position	Senior Risk & Compliance Officer
Department	Risk & Compliance Functions
Reports To	<ul style="list-style-type: none"> • Head of Risk (on Risk Functions) • Head of Legal & Compliance (On Compliance Functions)
Overall Purpose:	To execute the Risk & compliance management programs of the firm with an effort to support the business needs towards the overall achievement of the Organization's business goals and objectives.
Key Responsibilities	<p>Risk Functions</p> <ul style="list-style-type: none"> • Participate in risk management planning • Participate in review of the adequacy and effectiveness of risk mitigation measures within the organization's functions and identify opportunities for improvement • Assist in monitoring the risk appetite of the firm • Discuss risk assessment findings with the process owners and agree on the recommendations for improvement • Conducting detailed risk reviews in accordance with approved risk programs • Participate in the development and review of organizational policies and procedures • Facilitate identification of business process improvement opportunities and optimization of resources • Assist in creation and updating of business continuity plans • Prepare preliminary written risk assessment review report for each review • Assist in the reporting and tracking of incidents logged by other departments • Attend invited meetings on behalf of the department • Participate in conducting risk related trainings within the organization • Ensure compliance within the department

	<p>Compliance Function</p> <ul style="list-style-type: none"> • 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.
<p>Key Performance Indicators:</p>	<p>Risk Function</p> <p>% Policies & Processes up to Date</p> <ul style="list-style-type: none"> • Number of resolved risk issues • Internal Client management • Number of Risk reports • Attendance to Risk related trainings <p>Compliance Function</p> <ul style="list-style-type: none"> • Compliance with Regulators • Non-Conformance reports
<p>Education & Experience:</p>	<p>Academic Qualifications</p> <ul style="list-style-type: none"> • Bachelor's degree in Finance, Business or related field. <p>Professional Qualification</p> <ul style="list-style-type: none"> • ACCA/ CPA/ CFE/ FRM – Added advantage • Risk Certifications-Added advantage • Certification in securities & investments-added advantage <p>Minimum work Experience</p> <ul style="list-style-type: none"> • 3 years in a risk & compliance management role <p>Specialist Knowledge (Indicate the additional specialist skills the job requires in addition to qualifications)</p> <ul style="list-style-type: none"> • Financial and Capital Markets Knowledge
<p>Behavioral Competencies</p>	<ul style="list-style-type: none"> • Ethical and principled • Proactive • Willingness to learn

	<ul style="list-style-type: none"> • Analytical • Diligent • Strong interpersonal skills • Attention to detail • Self-driven
Business Competencies:	<ul style="list-style-type: none"> • Networking • Negotiation • Strong Oral and Written communication skills • Able to maintain high levels of confidentiality (Integrity)
Functional Competencies:	<ul style="list-style-type: none"> • Understanding of relevant financial regulations and legislation, risk management frameworks and risk reporting. • Financial Services operations knowledge • Financial and accounting knowledge • Strong communication skills • Proficiency in IT

If you wish to apply for this position, please email your application with a detailed CV & Cover Letter clearly demonstrating your suitability against the stated responsibilities, education/professional qualifications & experience to **careers@genghis-capital.com** on or before **Tuesday, 31st December, 2019**.