

## Head, Risk Management and Compliance

### Description

Leads, develops, manages, and executes the enterprise-wide risk management and regulatory compliance framework of a multi-asset class, multi-market, investment management firm with various client segments. Required to set up, coordinate and manage a team of consummate professionals and have knowledge of legislations and regulations, as well as applicable regulatory codes of conduct and guidelines.

### Responsibilities

- Provides leadership, builds, embeds, and continuously updates the appropriate risk governance and management framework, policies, supporting processes, and procedures to ensure that the firm has an effective integrated risk management framework.
- Proactively identifies, assesses, measures, monitors, mitigates, and manages risks arising from internal and external business events.
- Provides hands-on development of models for effectively managing market and operational risk as well as guides on the effective evolution and implementation of information security risk management policies.
- Regularly and proactively advises and updates management and the Board on requisite amendments to respective policies and procedures as required in conjunction with clients' objectives and relevant governing documents based on market trends and policies.
- Ensures the effective oversight of the internal control team's function to prevent and identify operational lapses.
- Provides research and analytical support to the Portfolios Management teams in their investment activities.
- Drives and develops analytical, systems, and data management capabilities to ensure that there is an effective enterprise-wide risk management framework.
- Improves and builds risk awareness amongst staff through periodic and effective, measurable communications and training programs on the company's risk management policies and processes.
- Builds, embeds, and continuously updates appropriate compliance structures, policies, frameworks, and supporting processes and procedures.
- Maintains and develops a thorough understanding of the relevant regulatory requirements and policies in pursuance of the maintenance of an enterprise-wide compliance culture.
- Undertakes AML(Anti-Money Laundering)-related investigations arising from compliance monitoring as well as ad hoc referrals.
- Provides assistance and advice on compliance issues e.g., new business, new products, and new regulatory initiatives across financial markets.
- Communicates to relevant business areas information on critical compliance incidents such as market abuse, conflicts of interest, money laundering, and improper disclosure of confidential information.
- Proactively identifies new regulations and laws and ensures that the implications are appropriately communicated to all relevant internal stakeholders.
- Ensures that all issues relating to ethics and compliance are evaluated, monitored, managed, and resolved in an appropriate manner and puts in

### Employment Type

Full-time

### Industry

Banking

### Job Location

Ikoyi, Lagos

### Date posted

May 8, 2024

place appropriate disciplinary actions and measures to avoid recurrences.

- Ensures that monitoring programs are in place to measure efficiency and identifies potential areas for improvement.

## **Qualifications**

- Bachelor's degree in finance, accounting, or other business-related fields from a reputable and accredited university.
- Advanced degree or certification in risk management and compliance is an added advantage.
- Master's degree is an added advantage.
- Certification in the following: ICAN/ACCA/CRMA/CIA is an added advantage.

## **Knowledge Requirements**

- Thorough understanding of the value chain of the investment management business.
- Strong knowledge of relevant legislations and regulations (including Anti-Money Laundering-AML and Combating Financing of Terrorism-CFT, Countering Proliferation Financing of Weapons of Mass Destruction-CPF).
- Knowledge of applicable regulatory Codes of Conduct and the Investment and Securities Act and its pursuant guidelines.
- Strong understanding of financial markets and instruments including derivatives across traditional and alternative markets.
- Skilled in risk identification, measurement, strategic risk analysis, and mitigation.
- Proficiency in Microsoft Office Suite.

## **Experience**

- Minimum of 12 years of post-NYSC experience within the financial industry.
- Minimum of 7 years of experience in the Risk Management/Compliance functions of the Asset Management business.
- 5 years of supervisory experience.

## **Skills**

- Analyzing
- Adhering to Principles and Values
- Working with people
- Presenting and communicating information
- Delivering results and meeting customer expectations
- Writing and Reporting
- Coping with pressures and setbacks
- Relating and Networking
- Formulating strategies and concepts