

# JOB ADVERT

<b>Designation:</b>	Risk and Compliance Manager
<b>Reporting Line:</b>	Head of Investment Services Limited
<b>Business Unit:</b>	Investment Services Limited
<b>Location:</b>	Lusaka
<b>Job Purpose</b>	
Ensure an effective internal compliance function is in place and ensure that ABC Asset Management's chosen risk management framework (Self Risk Assessment) are fully implemented in all areas	
<b>KEY OUTPUT &amp; RESPONSIBILITIES</b>	
<b>Compliance.</b>	
<ul style="list-style-type: none"> <li>Provision of proactive and practical regulatory advice to business managers and support functions.</li> <li>taking a commercial and practical approach to risk-based challenges and offering appropriate solutions.</li> <li>Ensure senior management remain informed of regulatory, legislative and best practice changes and their obligations under these changes.</li> <li>Ensure ongoing adherence to regulatory, internal policy, process standards and legal requirements as stipulated within the Securities Act to attain satisfactory audits.</li> <li>Use influence to facilitate precise execution and a culture of discipline across all units of the business to foster a proactive risk management culture.</li> </ul>	
<b>Risk and Control</b>	
<ul style="list-style-type: none"> <li>Embed an approved written risk management policy, which is consistent with the Institution's business strategies, capital strength, management expertise.</li> <li>Build the best practice to enforce a pro-active approach towards investment approval, monitoring, reporting and control in order to maintain the investment portfolio within acceptable quality parameters.</li> <li>Identify quantitative measures (such as exception reporting) to help test the efficacy of controls in place.</li> <li>Design remedial action plans to ensure that the Institution is not exposed to risks identified or under stress testing scenarios.</li> </ul>	
<b>Internal Controls.</b>	
<ul style="list-style-type: none"> <li>Ensure ABC Asset Management is in compliance with various internal policies and procedures; and external regulation such as contained within the Securities Act and the PIA act.</li> <li>Ensure that the procedures and processes are in line with the approved operating manual.</li> <li>Ensure an effective internal compliance team is fully functional and that all prescribed internal controls are being adhered to.</li> <li>Work with internal audit to ensure that the risk-based audit approach taken is not susceptible to gaps in the risk management process.</li> </ul>	
<b>Control Reporting</b>	
<ul style="list-style-type: none"> <li>Ensure to provide regular reports to boards and other relevant bodies detailing any current issues or information as required.</li> <li>Create periodic metrics and reporting of test results to be presented to the applicable Committees with oversight of the SBL products.</li> </ul>	
<b>Effective teamwork, self-management and alignment with group values</b>	
<ul style="list-style-type: none"> <li>Working with other team members to develop an investment plan for clients.</li> <li>Plan and manage own workflow, anticipating obstacles, juggling priorities and following through on objectives within agreed time-frames and according to quality standards.</li> <li>Promote a co-operative climate in working with others to achieve collective goals.</li> </ul>	
<b>Qualifications &amp; Experience</b>	
<ul style="list-style-type: none"> <li>Grade 12 School Certificate with 5 credits including English and Mathematics</li> <li>Relevant business / law degree, and Banking Certificate,</li> <li>Certification in Investment Advisory and Stockbrokerage Course</li> <li>Highly Proficient in Microsoft Excel and Power point Applications</li> <li>Must meet "fit and proper" requirements of a Compliance Officer as prescribed by local regulators.</li> <li>5 - 8 years' experience in similar role e.g Risk, Compliance Departments</li> </ul>	

Interested Applicants who meet the job requirements should email their CV's to e-mail address [jobs-zm@bancabc.co.zm](mailto:jobs-zm@bancabc.co.zm) Please note that only shortlisted candidates will be contacted. **Clearly state the position you are applying for in the subject field.** Closing date: Friday, 29<sup>th</sup> December, 2023

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