

Job Description

Position:	Supervisor, Regulatory Compliance
Department:	Compliance
Reporting to:	Head/Deputy Head of Compliance
Location:	Headquarter

I. Duties and Responsibilities

- Assist to establish and update regulatory compliance policies and procedures.
- Assist to review internal policies and procedures, and terms and conditions of new products and activities in compliance with laws and regulations.
- Support to DCO(s) in implementing the Regulatory Compliance Program.
- Conduct onsite visit review to branches/departments/division to ensure the effectiveness of implementation of internal regulations.
- Assist to develop Compliance program and checklist both branch and dept.
- To ensure compliance risk to be well managed and monitor on Prudential Compliance ratios.
- Regularly conduct compliance inspection to assess the current state and identify areas for enhancement in align with the compliance practice with regulatory guidelines and industry practices and staff awareness.
- Identify compliance risk associated with new products and services or variation to existing products and services.
- Assist to conduct the Risk Assessment Exercise to identify, detect, and monitor the risks associated with the AML/CFT and Regulatory Compliance.
- To assist the line manager in ensuring the up to date and monitoring changes relevant to applicable laws and regulations.
- To ensure any breach of regulations/internals regulations are escalated and resolved with proper measurement.
- To assist DCO(s) in performing the Gap analysis on new/existing regulations.
- To establish Compliance Checklist for applicable laws/regulations.
- Performing other tasks as required by line managers.

II. Qualification

- At least Bachelor's Degree in law or an equivalent qualification.
- At least 3 years' experience in banking industry.
- Knowledge of banking and financial institution laws, company laws, and other relevant laws for microfinance institution is required.
- Proven leadership ability.
- Good at problem solving, sound judgment, decision-making skills, and good communication skills.