

We are seeking an experienced Compliance Manager to ensure that Fullerton Markets Group (FM) conduct its business in compliance with all national and international laws and regulations that pertain to its industry, as well as professional standards, accepted business practices, and internal standards.

Here's an overview of the role:

Responsibilities:

- Ensure FM's compliance with its AML/CFT, regulatory, reporting, licence and conduct obligations.
- Develop and implement FM's compliance policies and compliance assurance programme, as required.
- Conduct compliance reviews in accordance with FM's compliance policies and compliance assurance programmes.
- Undertake reviews of FM's policies and procedures to ensure they are current and fit for purpose.
- Keep records of all compliance procedures, reviews and reports.
- Provide relevant compliance training to all employees.
- Liaise with internal and external stakeholders to obtain information about customers, including but not limited to AML investigations, Customer Due Diligence and Enhanced Due Diligence.
- Participate in research and review of regulations in various jurisdictions.
- Report potential and actual breaches of FM's policies, relevant legislation and regulation to the FM Board.

Requirements:

- Relevant Tertiary degree, with outstanding knowledge of securities rules and regulations in New Zealand.
- Proven experience in monitoring and implementing quality Compliance and/or Risk management framework policy content, with at least 2-5 years' experience in banks / brokerage firms.
- Highly disciplined and motivated with great self-management and interpersonal skills, as well as the ability to interact with all stakeholders.
- Excellent written and reporting skills.
- A high degree of accuracy and attention to detail, and an unquestioned ability to maintain confidentiality.
- **Must be Eligible to work in New Zealand with a valid working Visa.**