

JOB DESCRIPTION (JD)

Sun Life Asia Job Evaluation Process

Date: _____	Manager name: _____
Job title: <u>Associate Director, Compliance</u>	Manager title and GCF level: <u>Chief Compliance Officer</u>
Job level: _____	Department: <u>Compliance</u>
Career track: <u>Professional</u>	BU/Division: <u>Sun Life Vietnam/ Compliance</u>

Job purpose

Please provide a summary of the purpose and objective of the job.

To develop, implement, and oversee the effectiveness of Conduct and Anti-Fraud programs at Sun Life Vietnam. The primary goal is to detect, prevent, and manage conduct and fraud risks that could impact Sun Life Vietnam's business operations and reputation.

Major accountabilities

Identify 5-6 major accountabilities of the job (not the employee). Describe these accountabilities by what is to be accomplished, how and why. Use action verbs to begin each sentence. Avoid the use of acronyms. Include the approximate percentage of time spent on each accountability. The percentages below should sum up to 100.

1. Implement Conduct program at Sun Life Vietnam: <ul style="list-style-type: none"> ▪ Develop and implement conduct risk program to ensure compliance with regulatory requirements and Sun Life internal requirements. ▪ Monitor and assess conduct risks and compliance issues across the organization, identifying areas of improvement and recommending corrective actions. ▪ Review and provide effective challenge on key conduct risks and controls, including but not limited to product development, marketing, sales distribution and post sales services. ▪ Provide training and guidance to employees and advisors on conduct risk management and ethical behaviour. ▪ Collaborate with other departments to integrate conduct risk management into business processes and decision-making. ▪ Report on conduct risk issues and trends to senior management, ensuring transparency and accountability. 	50%
2. Implement Fraud risk management oversight at Sun Life Vietnam: <ul style="list-style-type: none"> ▪ Provide training and awareness on fraud risk management to employees and advisors. ▪ Facilitate periodical or ad-hoc fraud risk assessment and monitoring activities. ▪ Support case investigations, provide regular or ad-hoc management reports on fraud risk management, and promptly escalate significant fraud incidents. 	25%
3. Participate in business initiatives and developments, as appropriate, and provide constructive advice and effective challenge on conduct and fraud risks.	10%
4. Perform data-driven analysis to identify conduct and fraud risk early warning indicators and trends.	10%
5. Undertake additional tasks assigned by management.	5%

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Specialized knowledge

List specific types of technical or professional skills and knowledge required for the job.

Professional knowledge and skills:

- Proficiency in developing innovative solution to enhance the Conduct and Fraud Risk Programs.
- Excellent communication skills to provide clear and actionable advice to internal stakeholders.
- Strong knowledge of compliance regulatory requirements, conduct and fraud risk management best practice.
- Advanced skills in reporting, using technology and applying data analytics for insight into risks and trends.
- Strong analytical skills, paying careful and particular attention to details.
- Well-developed communication and interpersonal skills to effectively work with colleagues and stakeholders.
- Proactive problem-solving capability and possessing continuous improvement mindset.
- Leverages quantitative and qualitative information to make recommendations and drive for results.
- Excellent communication skills (listening, speaking, reading, and writing) in both Vietnamese and English.
- Bias for action, able to leverage quantitative and qualitative information to make recommendations and drive results.
- Excellent communication skills in both Vietnamese and English.

Problem solving

Outline problem solving requirements in terms of how standardized, varied, complex and interdependent problems and issues are typically faced by this job. Provide examples if necessary.

Strong analytical and problem-solving skills for handling conduct and fraud related matters.

Education and experience

Indicate the minimum education level and years of relevant experience required to perform the work. Include specific professional designations, licenses, registrations, if applicable.

- Bachelor of Arts in Law, Accounting, Auditing, or Finance.
- Minimum 8 years of progressive experience in business quality, compliance, internal audit, or risk management in the financial services industry.
- Aptitude and interest to lead and transform through technology and digital solutions.
- Demonstrated experience and understanding of conduct and fraud risk compliance principles as they apply to financial services, preferably with a focus in the insurance industry.
- Insurance related certificate (LOMA AIRC) is a plus.

Communication scope

Identify the level and nature of internal and external contacts with whom this job must interact regularly. Describe the reason and frequency of their communication.

- Enterprise and Regional Team
- Sun Life Vietnam business, including Sales, Operations, Legal, HR and other corporate functions.