

## JOB DESCRIPTION (JD)

### Sun Life Asia Job Evaluation Process

<b>Date:</b>	7 Nov 2025	<b>Manager name:</b>	
<b>Job title:</b>	Director, Compliance	<b>Manager title and GCF level:</b>	Chief Compliance Officer
<b>Job level:</b>	7.1	<b>Department:</b>	Compliance
<b>Career track:</b>	Management	<b>BU/Division:</b>	Sun Life Vietnam/ Compliance

#### Job purpose

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

The role is responsible for leading and overseeing Conduct and Anti-Fraud programs to ensure robust compliance across Sun Life Vietnam. This role supports organizational objectives and reports directly to the Chief Compliance Officer.

#### 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.*

<p>1. Conduct and Fraud Risk Management</p> <ul style="list-style-type: none"> <li>▪ Direct Conduct and Fraud Risk Management programs, ensuring operational efficiency and strict adherence to regulatory and internal standards.</li> <li>▪ Evaluate, challenge, and continuously enhance controls to effectively mitigate conduct and fraud risks.</li> <li>▪ Develop and deliver training and awareness programs for employees and advisors, promoting best practices in conduct and fraud risk management and ethical behavior.</li> <li>▪ Report conduct and fraud-related issues and emerging trends to senior management, regional, and corporate offices, ensuring transparency and accountability throughout the organization.</li> </ul>	55%
<p>2. Leadership</p> <ul style="list-style-type: none"> <li>▪ Provide strategic direction and leadership to the Conduct and Fraud Risk Management team, fostering a culture of integrity, collaboration, and continuous improvement.</li> <li>▪ Coach, mentor, and develop team members to enhance compliance capabilities and support professional growth.</li> <li>▪ Promote employee engagement, recognition, and inclusion, ensuring a positive and high-performing team environment.</li> <li>▪ Set clear goals and expectations, monitor performance, and drive accountability for results.</li> <li>▪ Represent the Compliance function in cross-functional projects and committees, advocating compliance priorities and best practices.</li> </ul>	25%
<p>3. Digital Transformation</p> <ul style="list-style-type: none"> <li>▪ Champion the adoption of digital solutions and innovative technologies to strengthen compliance processes and risk management frameworks.</li> <li>▪ Leverage data analytics and advanced reporting tools to identify trends, early warning indicators, and actionable insights in conduct and fraud risk.</li> <li>▪ Drive continuous improvement and process innovation by integrating digital capabilities into compliance operations.</li> <li>▪ Encourage a mindset of digital agility and continuous learning within the team, ensuring readiness for evolving regulatory and business landscapes.</li> </ul>	15%
<p>4. Undertake additional tasks assigned by management.</p>	5%

## JOB DESCRIPTION (JD)

### Sun Life Asia Job Evaluation Process

#### Specialized knowledge

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

Professional knowledge and skills:

- Demonstrated proficiency in developing innovative solutions to enhance Conduct and Fraud Risk Programs.
- Strong strategic leadership abilities, with expertise in digital transformation initiatives.
- In-depth knowledge of compliance regulatory requirements and best practices in conduct and fraud risk management.
- Advanced competency in reporting, technology utilization, and data analytics to provide insights into risks and trends.
- Exceptional analytical skills, with meticulous attention to detail.
- Superior communication and interpersonal skills for effective collaboration with colleagues and stakeholders.
- Proactive problem-solving capabilities and a commitment to continuous improvement.
- Results-oriented mindset, leveraging quantitative and qualitative data to inform recommendations and drive outcomes.
- Excellent communication skills in both Vietnamese and English, encompassing listening, speaking, reading, and writing.

#### 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 critical thinking skills for handling complex conduct and fraud issues, guiding the team to address challenges promptly.

#### 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's degree in law, Accounting, Auditing, or Finance.
- At least 10 years of progressive experience in business quality, compliance, internal audit, or risk management within the financial services industry.
- Aptitude and interest to lead and transform through technology and digital solutions.
- Proven experience and understanding of conduct and fraud risk compliance principles as applied to financial services, preferably with a focus on the insurance sector.
- Insurance related certificate (LOMA AIRC) and Certified Fraud Examiner (CFE) 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
- Vietnam Senior Leadership Team
- Sun Life Vietnam business, including Sales, Operations, Legal, HR and other corporate functions.

#### Management scope

Total number of direct reports: 4

Total number of staff managed (direct and indirect): 4

#### Metrics (if applicable)

## JOB DESCRIPTION (JD)

### Sun Life Asia Job Evaluation Process

Finance metrics (revenue, budget managed, etc.): N/A

Sales metrics (type and amount): N/A

Other metrics (specify): N/A

Travel required (express as % of working time): N/A

Prepared by:		Date:	7 Nov 2025
Approved by:		Date:	7 Nov 2025
<b>For HR Use Only</b>			
Handled by:		Date:	
Job profile			
JAR #:			