JOB POSTING TEMPLATE

Date:	2021	**Function:**	Compliance
Job title:	Manager, Compliance	**Manager title:**	Associate Director, Compliance

Job purpose

To develop, implement and oversee the operating effectiveness of Market Conduct programs across Sun Life Vietnam, including the collaboration with the first line to set up appropriate controls and monitor to make sure that the Market Conduct risk is mitigated as well as to detect, prevent and manage Market Conduct related risks that may affect Sun Life Vietnam's business operations and reputation.

Major accountabilities

Implement Market Conduct (MC) program at Sun Life Vietnam in respect of the below areas: ▪ Assist management to establish and update the MC Operating Guideline on periodical basis to ensure compliance with external regulatory requirements and internal compliance obligations. ▪ Provide appropriate training and awareness to management, employees and distributors on the MC Operating Guideline and key compliance matters. ▪ Manage MC risks that may be happened at Sun Life Vietnam through overseeing the identification and management of relevant compliance risks by business functions, consulting and ongoing monitoring on the management controls and processes to mitigate the risks. ▪ Support management in assessing MC risks, establishing processes to provide and document adequate internal controls and monitoring procedures to assess ongoing compliance with external and internal regulatory requirements; and provide quality periodic reports, escalate significant compliance matters, regulatory compliance incidents or breaches to Chief Compliance Officer, Executive Team, Regional and Enterprise Compliance.	30%
Compliance monitoring and testing: ▪ Fully conduct compliance reviews/testing according to the compliance plan; collaborate with relevant stakeholders to ensure that the distribution channels are aligned to, and compliant with Market Conduct OG, Market Conduct Control Matrix, applicable regulations on Market Conduct and regulatory requirements. Provide the advice to functional departments on Market Conduct related matters and operating processes/procedures. Review guide direct reports on testing and monitoring activities.	20%
Investigation and resolution: ▪ Perform effective investigation into all the known or suspected compliance/Market Conduct/Fraud incidents. Review and assess effectiveness of management action plan in addressing the root cause of these incidents including handling, remediation and prevention; analyze and monitor the trend of these incidents. Identifies issues and acts without hesitation to develop practical and timely solutions.	20%
▪ Participate and provide appropriate advice in term of MC perspective for developing new products; and ▪ Participate in business initiatives and new distribution partnership developments as appropriate and proactively provide constructive opinions in Compliance perspective.	20%
People management: ▪ Well connecting with peers and team members. Proactively problem solves and regularly initiate ideas to improve the processes and practices. ▪ Communicates effectively to a wide variety of audiences at all organizational levels. Builds rapport and relationships with a variety of people, to exchange ideas and knowledge. Works effectively with stakeholders who have different perspectives, backgrounds and/or styles. ▪ Performs all tasks and projects that may be assigned by Associate Director Compliance and/or Chief Compliance Officer from time to time.	10%

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Specialized knowledge

- Strong knowledge of insurance distribution fundamentals – sales process, sales & management training, recruitment & selection, performance management; life insurance operations, products and services.
- Basic knowledge and skills in project management, people management. Basic knowledge of financial products and personal financial planning.
- Excellent in investigation on distribution channels and reporting writing skills.
- Strong analysis and communication skills including both oral and writing.
- Proactively problem solves and regularly identifies ways to improve the work processes and practices.
- Works effectively with others who have different perspectives, backgrounds and/or styles.
- Uses a combination of facts and influences to gain the support and commitment of others. Leverages quantitative and qualitative information to guide actions and make recommendations.
- Excellent communication skills (listening, speaking, reading and writing) in both Vietnamese and English.

Education and experience

- Bachelor of Arts in Law (Law or University of Public Security), Accounting, Auditing, or Finance;
- At least 5 years of working experience gained from financial institution in compliance/risk/audit. Experience in Life insurance/Distribution Compliance/Market Conduct Compliance is preferred.
- Excel in working with MS Office (Word, Excel, PowerPoint, etc.).