

JOB DESCRIPTION (JD)

Sun Life Asia Job Evaluation Process

Date: _____	Manager name: _____ Manager title and GCF level: <u>Associate Director, Compliance</u>
Job title: <u>Senior Manager, Compliance</u>	Department: <u>Compliance</u>
Job level: _____	BU/Division: <u>Compliance</u>

Job purpose

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

Implementing and overseeing the operating effectiveness of Conduct Risk program across Sun Life Vietnam, collaborating with the first line to set up appropriate controls and monitoring to ensure effective mitigation of Conduct risk as well as detecting, preventing and managing Conduct related risks that may affect 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 in respect of the below areas: <ul style="list-style-type: none"> • Assist management to establish and update the Conduct Operating Guideline on periodical basis to ensure compliance with external regulatory requirements and internal compliance obligations. • Manage Conduct 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 Conduct 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. 	30%
2. 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 Conduct EOG, Conduct Control Matrix, applicable regulations on Conduct and regulatory requirements. Provide the advice to functional departments on Conduct related matters and operating processes/procedures.	20%
3. Enhance compliance training & awareness: Prepare and deliver Compliance training materials, training courses to sales force/employee on Conduct topics; Facilitate and deliver training to target audience. Participate in conducting Compliance awareness week for sales force/employee. Initiate and take lead activities to enhance conduct compliance awareness to distributor and employee.	20%
4. Participate and provide appropriate advice in term of Compliance 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%
5. People management: Well connecting with peers and team members. Proactively problem solves and regularly initiate ideas to improve the processes and practices. <ul style="list-style-type: none"> • 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

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

- Strong training skill.
- 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 monitoring 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.
- Leverages quantitative and qualitative information to guide actions and make recommendations.

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.

Proactively identify and address potential Compliance issues, proposing suitable control measures and solutions as needed.

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 (Law or University of Public Security), Accounting, Auditing, or Finance with over 8 years of experience.
At least 3-5 years of working experience gained from financial institution in compliance/risk/audit. Experience in Life insurance/Distribution Compliance/Market Conduct Compliance is preferred.
Excellent in working with MS Office (Word, Excel, PowerPoint, etc.).
Excellent communication skills (listening, speaking, reading, and writing) in both Vietnamese and English.
Familiar with data analysis methodology and relevant practical experience 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.

Communicates effectively to a wide variety of audiences at all organizational levels.
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.