

JOB POSTING TEMPLATE

Date:	2020	Function:	Compliance
Job title:	Associate Manager, Compliance (Bancassurance)	Manager title:	Senior Manager, Compliance

Job purpose

- Identify Market Conduct/Fraud issues and conduct the investigation of compliance incidents
- Build strong compliance culture through: Compliance training and awareness
- Compliance monitoring and testing; Incident management and reporting
- Support the expansion of Bancassurance channel
- Enhancing control and monitoring through reviewing and inputting to Bancassurance processes and procedures
- Participate and support to deploy new digital platform, automation or significant changes in operational processes

Major accountabilities

Investigation and resolution: <ul style="list-style-type: none"> ▪ 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; analyse and monitor the trend of these incidents ▪ Identifies issues and acts without hesitation to develop practical and timely solutions 	40%
Enhance compliance training & awareness: <ul style="list-style-type: none"> ▪ Support to build and design training materials, training courses to sales force/employee on Market Conduct/Fraud's topics ▪ Facilitate and deliver trainings to target audience; review Compliance related training material to Bancassurance channel in SLV ▪ Proactively work with the first line to develop the controls and monitor of the implementation of Market Conduct/Fraud Risk Management OG, applicable regulations on Market Conduct/Fraud ▪ Initiate and participate in company's activities to enhance market conduct/ fraud awareness to distributor and employee 	20%
Compliance monitoring and testing: <ul style="list-style-type: none"> ▪ Prepare and 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 advice to functional departments on Market Conduct related matters and operating processes/procedures 	20%
Reporting and Operational Support: <ul style="list-style-type: none"> ▪ Preparing Provide data/ reports as required by local and regional management team, regional compliance timely and accurately ▪ Support and collaborate with relevant stakeholders to develop and deploy the system to enhance Market Conduct/Fraud incident escalation and reporting processes 	15%
People management: <ul style="list-style-type: none"> ▪ Well connecting with peers, team members and relevant stakeholders ▪ Proactively problem solves and regularly initiate new 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 others who have different perspectives, backgrounds and/or styles 	5%

JOB POSTING TEMPLATE

- | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
| <ul style="list-style-type: none">Performs all tasks and projects that be assigned by Line Manager and/or Chief Compliance Officer from time to time | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|

Specialized knowledge

Professional knowledge and skills:

- 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 innovate to improve the work
- 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
- Good at Microsoft Word, Excel, PowerPoint, and Outlook
- Native Vietnamese speaker and fluent English skills including speaking, writing, reading comprehensive, listening
- Well understanding of Bancassurance business and collaborating with banking partners are preferred

Education and experience

- | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <ul style="list-style-type: none">A 4-year university degree;At least 5 years of working experience gained from financial institutions in compliance/risk/auditExperience in Life insurance/Distribution Compliance/Fraud Investigation is preferred |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|