



An alternative career in finance

Associate Director - Compliance

Following strong organic growth we are on the lookout for bright individuals to join our team; individuals who are motivated and want to deliver excellence in fund and corporate services.

Since our inception in 2001 we have placed a strong emphasis on the personal and professional development of our employees, providing an opportunity for individuals to truly progress and shine. This investment in the people behind our services has paid off and we are proud to have maintained an industry-leading employee retention rate for over ten years.

To find out more or apply, visit aztegroup.co.uk/careers, email careers@aztegroup.co.uk or call us on +44 (0) 1534 834456.

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Job Description

Associate Director – Compliance

Reports to Head of Compliance

The purpose of this role is to direct and manage the activities of the Compliance team. Ensuring on-going compliance with applicable regulations by effectively implementing the Aztec Groups compliance strategy.

Key responsibilities:

- + Assist the Head of Compliance with developing and implementing the Compliance vision
- + Lead the Compliance team (a team of 8 people) taking responsibility for all compliance and reporting activities for Aztec and its clients
- + Provide leadership, mentoring, training and development to the Compliance team
- + Maximise effectiveness of the Compliance team operations
- + Identify and manage the successful delivery of Compliance Projects ensuring a business-driven approach
- + Ensure the effective implementation of the Aztec Jersey Compliance Monitoring Programme's ("CMP") and reporting for Fund Services Business and Trust Company Business covering Aztec Jersey and the Private Equity, Real Assets and Corporate Services product areas
- + Maintain oversight of the client CMPs and thematic reviews ensuring these are performed to the required level and completed within the relevant time frame
- + Regularly review and assess the adequacy of the CMP ensuring that it captures newly emerging regulatory changes
- + Providing support, education and training to all employees to build awareness of regulatory obligations
- + Provide support and guidance to management with regards to the application of the relevant laws and regulations in Jersey
- + Help promote and maintain an effective compliance culture with appropriate policies and procedures that reflect current regulatory and legislative obligations
- + Hold the positions of Compliance Officer and Money Laundering Compliance Officer for a number of regulated client entities
- + Act as the point of escalation for all client entities where technical expertise is required

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Key responsibilities (continued):

- + In conjunction with the Head of Compliance be the principal point of contact for liaising with the Jersey Financial Services Commission (the “Commission”)
- + Provide assurances in respect of the quality of all deliverables, prepared by the Compliance team, for the client Boards
- + Remain up to date, interpret and disseminate information about regulatory and legislative changes and ensure policies, procedures, documents and compliance tools are adapted to accommodate any such changes
- + Be the escalation point for the review of all breaches and complaints recorded on the registers ensuring appropriate due process is followed internally

Skills, knowledge, expertise:

- + Confident in dealing with Senior Executives / Board members
- + Strong, clear and concise communication skills (both written and verbal)
- + Excellent interpersonal skills are an essential requirement to develop close working relationships with colleagues and business contacts
- + Strong negotiation skills and able to lead and influence individuals at all levels in a positive, constructive way
- + Ability to take ownership and demonstrate initiative, to negotiate, influence, build consensus and successfully navigate within a demanding environment
- + Self-motivated and capable of prioritising and organising workloads as required
- + A detailed understanding of, and experience with, performing compliance activities within a financial services company
- + A comprehensive knowledge of the Jersey regulatory environment
- + A university degree or ICA Diploma Experience and knowledge of Private Equity Funds would be advantageous
- + Must have a good working knowledge of SharePoint and Microsoft Office, in particular Outlook, Word and Excel

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Skills, knowledge, expertise (continued):

- + Sound technical financial services knowledge (to be supported through the Aztec Academy)
- + Excellent project and change management expertise
- + Experience of day-to-day supervision of teams and management of direct line reports

We will provide the training, both in-house for relevant technical knowledge and also professional qualifications to enhance your professional development. You will need to be quick to learn new systems and great with people, as close working relationships between our colleagues and clients is at the heart of what we do.

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