

JOB POSTING TEMPLATE

Date: 2022

Function: Compliance

Job title: Associate Manager, Compliance

Manager title: Associate Director, Compliance

Job purpose

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, procedures and business activities.

Major accountabilities

1. Develop, implement, and oversee the operating effectiveness of Market Conduct programs across Sun Life Vietnam, including the collaboration with the cross-functional teams such as bancassurance channel and relevant stakeholders to set up appropriate controls and monitor to make sure that the Market Conduct risks are mitigated as well as to detect, prevent and manage Market Conduct related risks that may affect the Company's business operations and reputation.

2. Report the findings to management and monitor to make sure that the recommendations implemented

3. Provide the advice to functional departments over Bancassurance business on Market Conduct related matters and operating processes/procedures.

4. Analyse sales and misconduct data/information to identify the risk, recommend for preventive and detective actions, monitor and improve sales quality, including implementation of Risk Indicators Management program, Early Watch Alerts, sales quality and controls improvement initiatives, etc....

5. Adopt, localize the policies and operating guidelines issued by Enterprise Compliance; review, revise the local operating guidelines to reflect regulatory updates and business operation changes.

6. Conduct the Market Conduct Risk Assessment and analysis to identify the gaps on operating processes and procedures and recommend the corrective solutions.

7. Make the compliance reports to local and regional management team, responds to internal and external queries according to guidelines, monitors compliance across the business units.

8. Conduct compliance reviews/testing according to the compliance plan; work closely with Bancassurance channel to support delivery the business as well as enhancing control and monitoring to strengthen Bancassurance process and procedures.

9. Perform virtual, in-class training, sharing sessions to enhance compliance awareness and best practices for targeted groups. Review Compliance related training material to sales channel.

10. Performs all tasks and projects that may be assigned by Associate Director, Compliance and/or Chief Compliance Officer from time to time.

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Specialized knowledge

Professional knowledge and skills:

- Strong knowledge of insurance distribution processes, products, and risks
- Basic knowledge and skills in project management, people management. Basic knowledge of financial products and personal financial planning.
- Communicates effectively to a wide variety of audiences at all organizational levels
- Proactively problem solves and regularly identifies ways to improve the work processes and practices.
- Uses a combination of facts and influences to gain the support and commitment of others.
- Works effectively with others who have different perspectives, backgrounds and/or styles
- Excellent in Microsoft Word, Excel, PowerPoint, and Outlook.
- Fluent in written and spoken English.
- Well digital knowledge is preferred.
- Familiar with data analysis methodology and relevant practical experience is a plus.

Education and experience

- University graduates, preferably majoring in Legal/insurance/accounting/audit and/or University of Public Security.
- Prior experiences (5 years) in Compliance or Legal or Risk management functions in insurance, banking, finance, accounting, or audit is an advance. Experience in Bancassurance/Distribution Compliance is preferred.
- LOMA certificate (FLMI/ALMI/AIRC) is preferred.

Management scope

Total number of direct reports: 0

Total number of staff managed (direct and indirect): 0