

## Compliance Officer at KCB Bank Kenya

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Company: JobWebKenya

Location: Kenya

Category: business-and-financial-operations

### Job Description

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Kenya Commercial Bank Limited is registered as a non-operating holding company which started operations as a licensed banking institution with effect from January 1, . The holding company oversees KCB Kenya – incorporated with effect from January 1, – and all KCB’s regional units in Uganda, Tanzania, Rwanda, Burundi, Ethiopia and South Sudan. It also owns KCB Insurance Agency, KCB Capital, KCB Foundation and all associate companies. The holding company was set up to among other things to enhance the Group’s capacity to access unrestricted capital and also enable investment in new ventures outside banking regulations, achieve operational and strategic autonomy for the Group’s operating entities and enhance corporate governance across the Group and oversight in management of subsidiaries.

### Summary

The compliance officer will monitor, support and report on rigorous compliance and risk standards for KCB Investment Bank as per policies, to ensure management maintains effective internal controls and systems to detect and remedy non-compliance, drive improvements and act as the central contact point for all stakeholders for compliance monitoring. Review, support, monitor and report on Reputational Risk management and Ethical standards for KCB Investment Bank.

### Key Responsibilities

Liaise with departments to carry out compliance risk events data collection, analysis and

preparation of reports including recommendations to mitigate all non-compliance exposures.

Carry out status and performance reviews and ensure compliance with BAU compliance responsibilities for KCB Investment Bank.

Plan, monitor, support organization of Compliance, Reputational risk and Ethics compliance policies standards training across the departments.

Review of BAU activities to oversee reputational risk, compliance, ethics and operational, processes and procedures, reporting any findings to the Senior Manager, Risk & Compliance and KCB Group Head, Compliance & Ethics and giving recommendations for improvements.

Maintaining continuous engagement with departments to carry out compliance risk monitoring, analysis and reporting on New Products, and Projects.

Maintain monitoring and tracking of Reputational Risk & Ethics Incidents and Facilitate training.

Review industry rules and regulations ensuring Capital Market Authority, Nairobi Securities Exchange & Central Depository Settlement Corporation regulatory requirements are compiled with and/or operationalized in the business.

Continuously monitor changes in the regulatory framework and ensure that contractual documents, policies and procedures are up to date and comply with those changes/ reviews.

Monitor all Advisory, Brokerage and Wealth Management transactions and advise on their potential adverse implications for KCB Investment Bank while ensuring the implementation of mitigating strategies.

Continuously review and confirm that all Risks (Credit, Market, Legal and Operational Risks) affecting the Business have been identified, assessed and controlled.

Monitor and ensure compliance with all regulatory and obligatory reporting requirements within the stipulated timelines.

Monitor the Unit's Risk Register & KRIs; calculation of Risk Based Capital as per CMA requirements.

## **The Person**

For the above position, the successful applicant should have the following:

Business related degree from an institution recognized by Commission for Higher Education.

Professional qualification in ACCA / CPA (K) / CFA / AKIB or MBA is an added advantage.

Minimum of 4 years' experience in Financial Services Industry; 3 years' of which must have been in compliance, monitoring & reporting as per CMA, NSE & CDSC regulatory requirements.

Appreciation of Risk Management with thorough knowledge of Advisory, Brokerage, Wealth Management / Investment Banking products & services; internal controls, operations and regulatory environment

Team player with demonstrated work ethics; consistently demonstrates a high level of professionalism.

Effective prioritization skills to meet a complex set of business demands and demonstrate delivery against multiple objectives.

Assertive, self-motivated with desire to succeed in a fast-paced financial services environment.

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