



## COMPLIANCE MANAGER

Global Custody & Clearing Limited, a member of the LOM Group, offers investment services to a local and international clientele through its regulated subsidiaries in Bermuda and the Bahamas. We are seeking an individual to work as Compliance Manager in our Bermuda office. Qualified candidates will have:

- University degree. Candidates with a Canadian Securities Course or equivalent and compliance qualifications would have an advantage;
- At least 10 years relevant industry experience (5 yrs at a senior level) w/ extensive knowledge of retail broker-dealer compliance and operations, regulatory and risk management and financial markets;
- Must have practical experience in analyzing regulations and legislation, developing policies and procedures to ensure compliance, and in reporting to senior internal stakeholders;
- Must be proactive and work well under pressure with exceptional written, communication and organizational skills.

The general responsibilities of the position will be:

- Ensuring the Group's compliance with local regulations in several jurisdictions. Responsible for all ongoing compliance-related tasks, and development, monitoring and enforcement of policies and procedures for the brokerage, asset management and corporate finance operations. Serve as MLRO for Bermuda-regulated companies. Approve and process all client account openings and documentation, on-going monitoring of transactions and accounts, develop anti-money laundering and risk policies, systems, and training. Maintain strong working relationship with regulators. Audit internal operations for compliance with company policy, and prepare regular reports for the Board and regulators.

If you are interested in this position, please deliver or email your resume by Jun 19, 2014. Applications received after this date will not be considered. Send to:

The Human Resources Department  
The LOM Group, The LOM Building, 27 Reid St.,  
Hamilton HM 11

Email: [HR @ LOM.com](mailto:HR@LOM.com) [www.LOM.com](http://www.LOM.com)  
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