

Job Description

Job title	Legal & Compliance Specialist	Location	Pazundaung Office – Head Quarter
Status	Permanent	Working hours	8:30-17:30 Mon-Fri
Department	Legal & Compliance	Contact	HR@the-asgroup.com.mm
Job Grade			

Summary

A Legal & Compliance Specialist is responsible for ensuring that the company is operating in accordance with applicable laws and regulations. A Legal & Compliance Specialist reviews policies, procedures and internal controls to ensure compliance with microfinance regulations, while communicating effectively with relevant regulators or any other external stakeholders. It also evaluates and investigates suspicious activities, monitors changes in the regulatory environment, and provides guidance to the organisation on legal and compliance issues.

Roles and Responsibilities

- Develop and implement strategies for the effective management of compliance risks
- Ensure compliance to the relevant laws, regulatory requirements, policies, and procedures through the provision of regular communications, training and education
- Develop and deliver monitoring programs to assist in the detection of compliance risks
- Recommend practical risk-mitigation actions to ensure that compliance risks are promptly addressed
- Prepare statutory reporting, liaising with different business units for its the timely and accurate submission to relevant regulators.
- Liaise with regulatory bodies on compliance-related issues including approval processes for business expansions.
- Facilitate regulatory audit programs by liaising with different business units.
- Ensure compliance with requirements of AML/CFT and Anti-Corruption Laws, in particular, account activity reviews and investigations to identify unusual and suspicious patterns
- Implement regular training of the employees and management of training status related to AML/CFT and compliance with the Laws
- Ensure KYC/CDD checks and complete Enhanced Due Diligence
- Provide compliance assurance reports to senior management and the Board that there are effective and efficient policies and procedures in place, well understood and respected by all employees, and that the company is complying with all regulatory requirements
- Provide a full range of legal support and advice to all departments.

- Manage, review and draft legal documents (including but not limited to loan agreements, rental contracts, tenders, procurement agreements, service-level agreements, memorandums of understanding, letters of appointment).
- Provide support to the department for third-party claims, litigation, mediation and arbitration matters
- Other duties if required

Job Qualifications and as Requirements

- Bachelor's degree in law or higher
- Minimum 5 years working experience in a law firm or an in-house legal and compliance department.
- Proficient in English (Speaking, Reading, Writing and listening)
- Advanced computer skills on Microsoft Office, including WORD, Excel, PowerPoint, etc.
- Excellent verbal and written communication skills.
- Good in legal research and staying current with legal trends.
- Experience in the Financial Sector preferred
- Ability to maintain professionalism in a fast paced and busy environment
- Time management skills in order to respond to deadline sensitive requests
- Detail orientated
- Team player and cross functionally

Additional information

- Report to Managing Director
- Good time management & attendance
- Being honest and responsible in personality
- Developing positive working relationships

