

Rizzo, Farrugia & Co (Stockbrokers) Ltd ("the Company") is a leading investment and stockbroking firm. We are founder members of the Malta Stock Exchange and licensed by the MFSA. The Company has built a reputation of providing an excellent service and investment advice having over 30 years of strong experience, expertise, and a personalised approach to investing.

We are looking for a dynamic and motivated Compliance Executive to join our team.

Compliance Executive

General duties and responsibilities

- Undertakes AML & CFT client identification and verification, risk assessments, sanction and adverse screening, ongoing monitoring and scrutiny of transactions;
- Reviews client files on a risk-based approach to update ongoing due diligence;
- Reviews and updates AML & CFT policies and procedures as well as contributes in country risk assessments, FIAU REQs as well as the Business Risk Assessment;
- Maintains the Company's compliance-related software updated with all customer information and actioning any alerts or notifications in a timely manner;
- Carries out a wide array of investment firm regulatory compliance ongoing monitoring activities and reviews, as established in the Compliance Monitoring Programme, and preparing compliance reports containing the findings from such reviews together with following up on any agreed action points;
- Assists in the oversight of trade surveillance and adherence to market abuse regulations including market soundings;
- Actively following updates regarding regulatory requirements, primarily those emanating from EU directives and regulations, ESMA Guidelines, MFSA Conduct of Business Rulebook as well as AML/CFT Regulations and assisting the Company in the ongoing adherence with such requirements;
- Provides administrative support to the Compliance Function, including the drafting of internal policies, manuals and procedures, and the maintenance and updating of all compliance registers;
- Assists in the preparation and delivery of internal compliance training programmes and reporting to the Board of Directors;
- Assists in the preparation of periodic regulatory reports for submission to regulators; and
- Forms an integral part of the Company's compliance function, reporting directly to the Company's Compliance Officer and/or Money Laundering Reporting Officer.

Candidate credentials

- Should possess a strong interest and continued willingness to learn about ongoing regulatory developments impacting the Company.
- A qualification (minimum MQF level 5 equivalent) in financial services compliance or AML & CFT, or relevant compliance-related work experience will be considered an asset.
- Good IT literacy particularly in the use of financial/CRM/compliance software, MS Office including Word and Excel.
- A proactive and highly organised individual with the ability to work both independently as well as in a collaborative team-oriented environment.
- Must be capable of taking full responsibility for the duties assigned to him/her and work at his/her own initiative and deliver high quality work within set deadlines.
- Must have a professional approach, strong integrity and moral standards.

Application letters and CVs should be sent by email to hr@rizzofarrugia.com.

All applications will be treated in strictest confidence.