

*Rizzo, Farrugia & Co (Stockbrokers) Ltd is a leading investment and stockbroking firm. We are 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 solely on the basis of investor objectives and requirements.*

*We are looking for a Head of Compliance to join our team.*

# Head of Compliance

## General duties and responsibilities

- Acting as the company's Compliance Officer in terms of MFSA Investment Services Rules;
- Managing and overseeing the day-to-day operations of the Compliance department;
- Ensuring that the company is at all times operating within its licence conditions and in accordance with all current and future regulatory requirements, emanating both locally and at European Union level, including the MFSA Investment Services Rules, the MFSA Conduct of Business Rules, the EU Markets in Financial Instruments Regulation (MiFIR), and the prevention of market abuse laws and EU regulations;
- Developing and executing a compliance monitoring programme, to monitor and maintain regulatory oversight over the company's operations;
- Keeping informed about ongoing regulatory changes, trends, and best practices and assessing their potential impact on the company;
- Developing, maintaining and advising the company on compliance-related policies and procedures;
- Advising and reporting to the Board of Directors on compliance matters on a regular basis;
- Acting as liaison with the company's regulator as required, and ensuring the timely submission of all regulatory reporting;
- Developing and coordinating compliance training programs for all staff;
- Liaising with the company's MLRO as required from time to time;
- Assisting the company's Risk Management Function as necessary from time to time;
- Generally managing and leading all compliance-related requirements and being a point of reference for staff on all compliance matters.

## Candidate credentials

- Possess a university degree (or similar qualification) in law or financial services compliance;
- Must have at least five years' relevant compliance work experience, preferably with exposure to MFSA investment services rules and regulations;
- Should possess a strong interest and continued willingness to learn about ongoing regulatory developments impacting the company;
- Ability to work both independently as well as in a collaborative team-oriented environment;
- Must have a highly professional approach, high integrity and moral standards, and capable of assuming full responsibility for the compliance function and to meet set timeframes and deadlines.

Application letters and CVs should be sent by email to [hr@rizzofarrugia.com](mailto:hr@rizzofarrugia.com).

**All applications will be treated in strictest confidence.**

