

Senior Regulatory Affairs Officer United Arab Emirates Posted on 12/25/2023 Trending

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Company: Abu Dhabi Islamic Bank PJSC

Location: united arab emirates

Category: other-general

ROLE PURPOSE:

The Senior Regulatory Affairs Officer is responsible for supporting Head of Regulatory Affairs in the implementation and compliance with all regulations impacting ADIB including those related to Business Conduct but also in providing guidance on all regulatory compliance related queries from ADIB Business and Support Units.

The Senior Regulatory Affairs Officer is also responsible for the maintenance of Ethical Conduct framework and the supervision of the Workflow agreed between Regulatory Affairs and Compliance Operations Center (CoC).

Regulatory Obligations Management & Advisory

Ensure timely dissemination to Business & Support function of all applicable notices/circulars and the gap assessment template submitted by the Compliance Operations Center (CoC) pertaining to all regulations issued by the relevant authorities

Conduct Gap Assessment review and Support in the quality review of the Regulatory Obligations Register

Maintain comprehensive Regulatory Obligations Register of all regulations the Bank is exposed to across regulators and jurisdictions and monitor process for conduct regulatory gap assessments

Support in the tracking of daily and weekly targets set up for the CoC and monitor adherence of the assigned targets

Work closely with business and act as point of contact with the impacted units within ADIB to

ensure completion of the submitted gap assessment and provide any necessary inputs on queries

Ensure the dissemination of the operational notices issued by regulatory authorities to the relevant Business and Control Units and ensure competition and submission of the required information to regulatory authorities

Policies and Procedures

Support development and update of Regulatory Affairs and Ethical Conduct related policies, procedures, and processes

Be responsible for the continuous monitoring and update of Regulatory Affairs and Ethical Conduct Related policies by addressing regular update to Head of Regulatory Affairs on their renewal status and market/ regulatory evolution

Regulatory Interaction

Facilitate the submission of the regulatory submission of Business and Support units

Support the development of the Regulatory Affairs framework based on best practices and in line with applicable regulations

Track progress on queries/issues received from regulators and ensure appropriate and timely allocation to respective Business and Support units

Support in the remediation of gaps identified in RCSA, internal/external audits, or supervisory audits related to Regulatory Affairs.

Regulatory Guidance to Business Units

Keep abreast of related laws, regulations, and best practices and assess its impact on ADIB.

Act as an SME with the Business units to provide technical insights on complex regulations and build credibility based on an understanding of their challenges related to products, customers, and transactions.

Support the Business and Control units to adhere to Group Compliance policies, procedures, and processes.

Provide advice to the Business units on the new product review process by assessing

compliance/regulatory requirements and the impact of proposed new products and services on ADIB.

Provide guidance and approval on the business-related Policies submitted to Regulatory Affairs

Review and ensure approval of New products and Product Programs submitted to Head Of Regulatory Affairs

Review and approve financial promotions (campaigns), business / control function policies.

Ethical Conduct framework management

Support in the implementation and maintenance of ADIB Group Conduct Risk Framework

Ensure to provide guidance and clarification to Business and Control Units in relation with all Ethical Policies through the Dedicated channels at bank level

Be responsible for the application and management of the ethical policies and procedures along with the maintenance of the applicable registers as per Outside Business Interest, Conflict of Interest, Gift & Entertainment, Market Abuse and Insider Trading and Personal Account Dealing procedures.

MIS/Reporting:

Ensure the update of all the KRIs/KPIs related to Regulatory Affairs units and their inclusion in the relevant reports

Support in the Preparation MIS reports for internal regulatory affairs reporting, or any other relevant committee

Support the preparation and maintenance of ADIB regulatory returns/reporting and monitor adherence to defined due dates

Ensure the continuous monitoring of the Regulatory Reporting suite applicable to Regulatory Affairs and support their template design if not provided by regulatory authorities

Ensure reporting of material non-compliances/breaches related to Regulatory Affairs department in line with the prevailing policies on a timely manner

Coordinate and finalize any ad-hoc gap assessment of the FATCA and CRS policies and procedures against updated regulatory requirement.

Support timely submission of the FATCA and CRS reporting expected by CBUAE and SCA on a yearly basis.

Staff Ethical Behavior

Demonstrate strong adherence to ADIB Conduct Risk Pillars and Code of Ethics in terms of transparency, integrity, confidentiality, respect and collaborative workplace

Demonstrate strong adherence to ADIB ethical conduct framework in reporting any conflict of interest event or any witnessed behaviour which breaches code of ethic to the Human Resources

Ensure to participate to the transparency and trust culture within the bank by reporting in good faith, any concerned, misconduct or Malpractice through the Whistleblowing framework.

Specialist Skills / Technical Knowledge, Technical Competencies Required for this role:

Degree in Finance, Business, or any related subject.

Exemplary knowledge of the UAE regulatory environment, regulatory structures, market conduct, Islamic banking market products and industry groups.

6+ years of regulatory compliance experience

Ability to quickly acquire knowledge of new regulations, rules and their impact on ADIB business.

Strong Communications and stakeholder management

Fluency in English and Arabic

Strong ability to interpret regulatory obligations and provide clear remediations and clarifications

Strong presentation skills and ability to perform innovative thinking to solve complex problems with no established precedence while balancing risk, speed and accuracy.

Ability to adopt a problem-solving approach and autonomous work on the dedicated task

Strong interpersonal skills with the ability to communicate with impact, build healthy professional connections, influence outcomes, simplify complex topics into actionable recommendations for decision-making.

Previous experience:

Regulatory Compliance a reputed Financial institutions

Experience in Conduct Risk Management (could be a plus)

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