

## Compliance Officer Job Description

- Location:** British Virgin Islands (the “BVI”)
- Job Overview:** This job description details the role of Compliance Officer within the Gold Leaf Group (the “Role”).
- The individual acting in the Role must be approved by the British Virgin Islands Financial Services Commission (the “BVI FSC”)
- Reporting Line:** Regulatory Counsel

### The Gold Leaf Group

Gold Leaf Consulting Limited (“**Gold Leaf**”) is a BVI legal services firm specialising in financial regulatory and compliance matters. Its affiliated entity, Gold Leaf Corporate Compliance Services Limited (“**GCCS**”), is licensed by the BVI FSC to provide corporate compliance services to entities licensed and operating from within the BVI (“**Compliance Officer Services**”).

### Responsibilities and Duties

In the Role, the individual will provide Compliance Officer Services to clients of Gold Leaf and GCCS (as approved by the BVI FSC) and perform the following functions:

- Providing ongoing regulatory guidance and support to clients and staff of Gold Leaf and GCCS;
- Conducting training on behalf of Gold Leaf and GCCS to clients;
- Advising Gold Leaf and GCCS clients and the staff on BVI regulatory matters;
- Engaging with the BVI FSC and other regulatory bodies on behalf of clients of Gold Leaf and GCCS;
- Drafting internal policies and procedures on behalf of varying BVI financial service entities, including trust companies, company management service providers, virtual assets services providers and designated non-financial businesses and professions;
- Developing, revising, and maintaining policies and procedures for the general operation of the Client Licensee’s compliance program;
- Introducing and maintaining an effective compliance communication culture, including understanding new and existing compliance issues and related policies and procedures;
- Recommending systems to identify, monitor and mitigate against compliance risk;
- Performing periodic reviews and evaluations to ensure compliance issues are appropriately evaluated, investigated, and resolved;

- Coordinating an effective compliance training programme, including appropriate introductory training for new employees and ongoing training for all employees;
- Providing periodic reports as directed or requested to keep the directors of the Client Licensee informed of the operation and progress of compliance efforts;
- In conjunction with senior management of the Client Licensee, ensuring timely, effective, and open communication with the Commission, including submission of regulatory reports;
- Performing and, where relevant, having functional responsibility for the statutory obligations of the Compliance Officer further to section 45 of the BVI Regulatory Code;
- Guiding clients and employees of licensed financial institutions on AML/CTF/PF requirements per relevant domestic legislation;
- Performing compliance screening for the onboarding and updating of existing clients;
- Performing enhanced customer due diligence reviews and high risk re-approvals;
- Drafting, presenting, and overseeing the implementation of regulatory actions plans for licensed financial institutions;
- Drafting internal policies and procedures documents, including AML/CTF/PF compliance manuals;
- Maintain compliance resource library for staff members to reference when they have questions; and
- Any other duties as may be designated by the CEO.

**Key Qualifications and Core Competencies:**

- Post-graduate compliance qualification from a reputable international compliance accrediting association is mandatory.
- Minimum of 5 years experience as a senior compliance associate or 3 years as an approved Compliance Officer.
- Excellent knowledge of risk management strategies
- Excellent knowledge of customer due diligence requirements for various corporate structures and demonstrated experience dealing with complex structures.
- Must be a strong communicator capable of expressing oneself clearly orally and in writing.
- Excellent analytical skills and ability to accurately interpret complex documents and policies
- Demonstrated ability to oversee effective compliance programs and activities.
- Strong time management and organisational skills and ability to meet deadlines