

JOB SPECIFICATION

JOB	Senior Compliance Officer
LOCATION	Tyger Valley
PERMANENT/CONTRACT	Permanent

WHO ARE WE?

Sanlam Private Wealth crafts customised investment portfolios for high-net-worth private clients, charitable institutions, trusts and corporate entities.

With assets under management and administration of more than R240 billion, we offer a comprehensive and integrated suite of wealth management solutions. These include equity, retirement and offshore investment portfolios, fiduciary and tax services, an equity-backed finance offering, a global stockbroking service and derivatives trading.

At Sanlam Private Wealth, our clients are at the core of everything we do. For this reason, we employ people with passion – individuals who thrive in an entrepreneurial, high-energy environment.

Sanlam Private Wealth is part of the Sanlam Investment Group – the largest, most diversified investment firm in South Africa, with a growing footprint on the African continent and in India.

WHAT WILL YOU DO?

Compliance framework and governance:

- Support the Head of Compliance in maintaining a robust compliance function within the business risk framework
- Incorporate new legislation into existing frameworks and processes
- Ensure regulatory obligations and compliance deadlines are met

Policy and regulatory implementation

- Develop, update and implement compliance policies and procedures across key regulations
- Monitor adherence to rules, policies and limits, and recommend enhancements
- Monitoring and risk management
- Develop and maintain Compliance Risk Monitoring Plans (CRMPs), Compliance Monitoring Plans (CMPs) and Working Papers (WPs), including defining monitoring scope and frequency
- Conduct independent reviews to identify compliance risks and implement corrective actions



Systems, reporting and optimisation

- Develop and maintain tools and systems to support compliance monitoring
- Stakeholder engagement and support
- Support regulatory engagement alongside the Head of Compliance
- Support training initiatives on compliance and new legislation
- Assist in oversight of junior compliance team members on regulatory tasks

General

- Perform ad hoc compliance-related tasks as required

WHAT WILL MAKE YOU SUCCESSFUL?

Success in this role requires solid compliance experience within financial services, with a strong understanding of financial markets, instruments and the regulatory landscape. You bring deep working knowledge of key legislation, particularly FAIS and JSE requirements, and are comfortable operating across CAT I and CAT II FSP environments, applying regulation practically within a business context rather than purely theoretically.

You have the credibility and professional grounding expected of a senior role, including relevant industry exposure and ideally professional affiliation or certification in compliance. You are able to operate independently in a high-accountability environment, using strong analytical thinking and judgement to interpret regulation, manage risk and meet regulatory deadlines.

QUALIFICATIONS AND EXPERIENCE

- B Com (Law), LLB or similar FSCA recognised qualification
- FSCA RE Examinations completed
- Eligible for FAIS Compliance Officer and/or JSE Equity Compliance Officer registration
- 5 – 7 years compliance related experience in the financial services industry
- SAIFM Compliance certification an advantage
- Member of the Compliance Institute of Southern Africa an advantage

KNOWLEDGE AND SKILLS

- Strong working knowledge and practical application of financial markets legislation
- Sound understanding of key regulatory frameworks, particularly FAIS and JSE Equity Rules and Directives, with broader exposure to FICA, AML, FATCA, POPIA and Regulation 28; SARB and NCA advantageous
- Strong computer literacy, including MS Office, FAIS e-Portal and JSE BDA systems; exposure to Copilot and other AI tools advantageous
- Strong numeracy skills and sound technical understanding of financial products and instruments
- Well-developed research and due diligence capability
- Ability to interpret regulatory requirements within a broader business context and apply sound, balanced judgement



- Ability to identify opportunities for process improvement, system optimisation and automation
- Insight into the application of AI and robotics within a compliance environment advantageous

PERSONAL QUALITIES

- Assertive, self-motivated and achievement-driven, with a strong commitment to personal and organisational success
- Strong time management, prioritisation and planning capability, with the ability to manage a diverse and complex workload
- Able to work independently with minimal oversight, demonstrating strong accountability
- Strong analytical and logical thinking capability
- Excellent written and verbal communication skills, including report writing
- Strong organisational and administrative capability, with a high attention to detail, accuracy and deadlines
- Proactive, solutions-oriented thinker with the ability to interpret regulation pragmatically
- Resilient and able to perform effectively in a high-performance, pressurised environment
- Demonstrates sound independent judgement and decision-making under pressure
- Strong negotiation and influencing capability
- Able to operate at both a strategic and detailed level, with the ability to implement processes and frameworks
- High ethical standards, with a professional, honest, transparent and dependable approach
- Adaptable, quick to learn and able to think creatively
- Professional, approachable and positive in engagement

OUR AIM IS TO HELP YOU BUILD A SUCCESSFUL CAREER WITH US

We're all about building strong, lasting relationships with our employees. We know that you have hopes for your future – your career, your personal development and of achieving great things. We pride ourselves in helping our employees to realise their worth.

Through its business clusters – Sanlam Personal Finance, Sanlam Emerging Markets, Sanlam Investments, Sanlam Corporate, Santam, Mi-way, as well as the Group Office – the Group provides many opportunities for growth and development.

DUE DATE FOR APPLICATIONS

18 September 2026

TURNAROUND TIMES

The shortlisting process will start once the application due date has been reached. The time taken to complete this process will depend on how far you progress and the availability of managers for interviews.



- To be considered for the above opportunity please upload your detailed CV on or before 18 September 2026.
- Please note that if you are not contacted within 2 weeks after the closing date, your application has been unsuccessful.

The Sanlam Group is committed to transformation and embracing diversity and our employment equity plan and targets will be considered as part of the recruitment process. This commitment is what drives us to achieve a diverse workplace with employment equity as a key goal to create an inclusive workforce, representative of the demographics of our society as well as people with disabilities.

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