

Head of Compliance and AFC, Taiwan

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Company: 0799 Deutsche Bank Aktiengesellschaft, Filiale Taipei

Location: Taiwan

Category: other-general

Description

As 2nd Line of Defense (LOD) functions, Compliance and AFC seek to protect the licenses of Deutsche Bank (“DB” or the “Bank”) to operate by promoting and enforcing adherence with laws, regulations, rules, expectations of regulators, the standards of self-regulatory organizations, and codes of conduct / ethics in connection with the Bank’s regulated activities, and driving a culture of compliance and ethical conduct in the Bank. Compliance and AFC also seeks to provide independent, proactive and forward looking challenge and advice to senior managers as well as all employees.

The Head of Compliance and AFC Taiwan is responsible for the management of Compliance and Anti-Money Laundering and Counter Terrorism Financing, Sanctions & Embargoes, Anti-Fraud, Bribery & Corruption (AFC) risks for Taiwan . The Head of Compliance and AFC for DB Taipei Branch (DBTB) is a position registered with the Banking Bureau of Taiwan and SFB (under securities licenses). The Head of Compliance and AFC supports DBTB (including CCO) for all of its regulatory obligations and in compliance with all related laws, regulations and regulatory expectations.

The Head of Compliance and AFC Taiwan is responsible for ensuring that all relevant policies, procedures, systems and controls are implemented effectively, all relevant legal, regulatory and DB Group requirements are met and any Compliance and AFC-related risks are appropriately assessed (via Country Risk Assessments)and mitigated where deficient. The role-holder is also responsible for the identification, assessment, advice on, monitoring,

control and reporting on the applicable laws, rules and standards relevant to the DB activities in Taiwan.

The Head of Compliance and AFC Taiwan is the direct point of contact for regulators and all DB employees in Compliance and AFC matters in Taiwan.

Support senior management and employees of Deutsche Bank in understanding and managing compliance and AFC risks:

the application of DB's ethical standards and professional principles

general compliance with the relevant laws, rules, regulations, directives and DB Group standards across the activities and business operating model of the assigned country, that fall under the Compliance and AFC risks' types

Responsible for the development and implementation of Compliance and AFC policies and procedures to ensure all local laws and regulations are complied with and to ensure all Global Compliance and AFC policies are implemented within the Branch

the prevention and escalation of issues, incidents and breaches relating to Compliance and to AFC Management and Taiwan CCO

the implementation of processes and procedures regarding abuse of assets, systems, information or procedures, for example those involving Confidential Information and Price Sensitive Information (PSI)

Implementation of Cross-border compliance policies and cross-border related matters.

Report regularly to governance functions (e.g. Leadership meeting) and, where necessary, Regulatory Authorities on Compliance and AFC matters, amongst others, indicating whether:

any significant risk exposures and material incidents of non-compliance have been identified

appropriate measures have been taken to address any gaps or deficiencies

the Compliance frameworks (structure and processes) are adequate, effective and in line with legal, regulatory and Deutsche Bank Group requirements.

Undertake and be actively involved in proactive and reactive management and escalation of all Compliance and AFC risks, issues and breaches, for example, conducting risk

assessments.

Monitor and test compliance with laws, rules, regulations and internal controls in accordance with agreed policy and methodology; report and manage any findings or issues, and support management in their identification of appropriate remedial action plans.

Participate in, and provide Compliance and AFC support to, relevant projects ensuring adherence to related standards, mitigation of associated risks and strong stakeholder consideration particularly focused on the client or customer.

Liaise with Compliance and AFC senior management within DB Group to ensure appropriate reporting and escalation of issues and/or incidents.

Support a compliance aware culture, including regular and appropriate local education, training and awareness by leveraging related global initiatives.

Participate in local and global Compliance and AFC projects instigated by Deutsche Bank Group.

Act as a direct contact point for Deutsche Bank employees to confidentially raise concerns in relation to Compliance and AFC matters or when improper or illegal activities are suspected (e.g. conflicts of interest, money laundering, market abuse, suspicious transaction etc.).

Provide local and regional support to the Regional and Global Compliance and AFC management teams (including BLCs) , as and when required.

Develop and maintain the Internal Control Framework to ensure adequate monitoring and control measures are implemented, report on any findings and advise management on remedial actions to take.

Ensure local implementation of any country, regional or global Compliance and AFC projects and programs in conjunction with the relevant regional leads.

Responsible for the local AFC Risk Analysis.

Provide input for MI reports requested by Regional and Global Compliance or AFC Management.

Work closely with DB Audit team under their audit program as well as local assessments

Ensure all regulatory and audit findings are monitored via GFMS and remediated on time with no delays

Coordinate and work with different stakeholders within Deutsche Bank Group to conduct assessments or examinations and/or respond to enquiries raised and requested by the regulators.

At least 10 years' experience, ideally in a similar senior position with extensive experience in Compliance and AFC or a control related function within an international organization/bank in the Financial Services industry

A strong track record in risk and regulatory matters, ideally including:

Solid understanding of Compliance and AFC risks and typologies in order to identify areas or instances of potential Compliance and AFC risks and to address them appropriately

Extensive previous relationship/ dealings with local regulators (BB, SFC and FSC)

Extensive experience required under the various appropriate regulations/laws and related circulars.

Excellent understanding of financial products including IB and CB

Crime function expertise - and should be considered a Subject Matter Expert (SME) in the Financial Crime area on relevant financial acts and regulation

Proven leadership ability, including skills to build, develop and coach a team.

Able to absorb issues arising from a wide span of control and demonstrate sound judgment

Excellent at managing people and relationships

Excellent at advising senior management with great skill, with a high level of executive presence, knowledge and stature to provide advice that will be respected and valued by business unit leaders, corporate leaders and other constituencies

Strong at influencing thinking and behaviors broadly across the organization, with the highest level of integrity and the ability to balance commercial objectives with the exercise of independent and prudent judgment

Able to raise sensitive or potentially contentious issues in a constructive manner to reach appropriate solutions

Excellent at setting clear objectives and driving for results, for example facilitating the creation of processes, systems, and disciplines that embed behaviors in the organization that ensure compliance

Able to identify issues and solutions or opportunities, as well as to build efficacy in compliance programs

Able to motivate employees, building teams and fostering relationships that engender a sense of shared objectives and accountability. The ability to recruit, develop, and retain team members while operating successfully in a matrix environment is critical

Deutsche Bank is an equal opportunity employer who seeks to recruit and appoint the best available person for a job regardless of marital / civil partnership status, sex (including pregnancy), age, religion, belief, race, nationality and ethnic or national origin, color, sexual orientation or disability.

Our values define the working environment we strive to create – diverse, supportive and welcoming of different views. We embrace a culture reflecting a variety of perspectives, insights and backgrounds to drive innovation. We build talented and diverse teams to drive business results and encourage our people to develop to their full potential. Talk to us about flexible work arrangements and other initiatives we offer.

We promote good working relationships and encourage high standards of conduct and work performance.

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