



Ogier Briefing Document

Overview

Ogier is one of the world's leading providers of offshore legal and fiduciary services with a presence in the British Virgin Islands, Cayman Islands, Guernsey, Jersey, Hong Kong, Ireland, London, Montevideo and an associated trust company in New Zealand.

We have long established relationships with many of the world's leading international financial institutions, professional advisors and regulatory bodies, are consistently highly rated in independent research studies and regularly lead offshore league tables.

We offer clients the strength in depth to handle the largest, most demanding and complex offshore transactions and we pride ourselves on being able to provide expert, efficient, and cost effective legal and fiduciary services across all time zones.

We also recognise that our business is a people business and we invest substantially in recruiting, training and retaining the best people to ensure that our clients have access to the highest quality offshore legal and fiduciary advice. Many of lawyers joined from leading City of London and US based firms and bring a wealth of international knowledge and experience in their respective areas.

Top Offshore Law Firm - Alpha Awards 2007

Offshore Law Firm of the Year - The Lawyer Awards 2007

Jersey Law Firm of the Year - Who's Who Legal Awards 2007

Offshore Law Firm of the Year - Citywealth Magic Circle Awards 2007

Values

At Ogier we have designed a set of values that define what clients expect from us. These are:

Quality: We consistently deliver the right individual solution to exceed the standards of performance our clients expect in a timely efficient manner.

Strength: We are able to deliver the very best offshore solutions because we can select and utilise the most appropriate jurisdiction from our extensive global network.

Partnership: We have an open approach to everything we do. We share intelligence across borders and across functions to achieve our shared goals. We build and nurture strong relationships with our clients, colleagues and suppliers.

Energy: We use drive and determination to be the best in all areas of business in which we operate.

Innovation: We continuously seek new and creative ways to maintain our leadership and improve business delivery, ensuring a high standard of quality, efficiency and speed.

Intelligence: We draw on our expertise to understand client requirements. We learn from them and anticipate future needs.

The Role

Job Title: Head of Compliance Europe
Group Report: Ali Ghaffari - Group Compliance Director
Salary: Negotiable

Position Purpose

Head of Compliance for Europe is responsible for the effective management of the European compliance operational teams. The role has also a global responsibility for the ongoing development of prudentially regulated business compliance function.

GROUP RESPONSIBILITIES

- Establish an effective network with Group Policy and Strategy, Operational Risk and In-House Counsel to ensure that operational risks are identified and internal policies are implemented.
- Act as a key senior member of the Group Compliance function and contribute to the wider Group Compliance plan and strategy.
- Function as a proactive advisor and internal consultant on Group Compliance matters.
- Assist in the design of appropriate infrastructure and controls to prevent or mitigate risk and promote common risk standards across the Ogier Group.
- Provide strategic direction to Group Compliance on the application of both existing and new regulation – outlining potential business impact and, as appropriate, producing plans to ensure the implementation of necessary changes to business practices.
- Ensure successful resolution of key issues and decisions on risk and compliance matters and deliver an efficient and cost effective service.
- Participate in the Jersey fiduciary new business take on process (Risk Assessment Committee).
- Participate in Group projects, operational processes, setting of standard policies, regulatory/risk initiatives and guidelines as required.
- Determine, prioritise, resource, implement and report on the Ogier Group's compliance needs.
- Obtain, analyse and action feedback from the Ogier Group with regards to the delivery of Group Compliance services.

OGIER GROUP (EUROPE) RESPONSIBILITIES

- In respect of all Group Compliance (Europe) support staff:-
 - set objectives for all staff;
 - supervise and evaluate performance;
 - conduct yearly appraisals;
 - monitor, coordinate and approve all holiday and training requests;
 - recommend bonus and/or salary increases;
 - provide direction and leadership and train as necessary;
 - monitor and control overtime and generally regulate workflow; and
 - take disciplinary action as appropriate.
- Oversee the daily functions of Group Compliance (Europe) including the due diligence review of all new and existing clients.
- Supervise the liaison with the Ogier Group (Europe)'s new and existing clients and collection and upkeep of all due diligence documentation.
- Supervise the anti-money laundering training for all Ogier Group (Europe) employees.
- Implement and maintain the Anti-Money Laundering procedures and policies and operating and compliance procedures manuals.
- Establish, revise, and implement new compliance policies as and when changes are required.
- Provide fee earners with relevant information and assist in the timely and accurate provision of Anti-Money Laundering advice to clients.
- Participate in the "Client Care" Team process and oversee the upkeep of the Client Complaints Log.
- Supervise the maintenance of compliance databases and manual files for Group Compliance (Europe).
- Act as MLRO and MLCO for all Ogier Group (Europe) in-house and client owned financial service businesses.
- Report to Executive Management on matters concerning:-
 - Complaints
 - New business
 - Errors and Omissions
 - Lost business
 - Regulation
 - Risk
 - Compliance project delivery
- Participate in the Disaster Recovery Planning Team for the Firm.

OGIER FIDUCIARY SERVICES (“OFS”) RESPONSIBILITIES

- Responsible for implementing OFS’ compliance programme to ensure that its activities comply with all regulatory and risk management requirements.
- Responsible for the ongoing development and implementation of standard compliance procedures and risk initiatives across OFS.
- Responsible for providing training and support to OFS fee earners on matters relating to compliance, risk management, regulation, legislation and any other issues associated with providing the highest quality of support service.
- Attend and/or constructively contribute to OFS meetings (by invitation) in respect of issues directly pertaining to compliance.
- Identify business opportunities that may exist for OFS in a regulatory or compliance context.