



## **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, New Zealand, Bahrain and Tokyo.

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.

### **AWARDS 2008**

'Securitisation Deal of the Year 2008'	IFLR
'Offshore Law Firm of the Year 2008'	Hedge Fund Journal

### **AWARDS 2007**

'Top Offshore Law Firm of the Year 2007'	Alpha Awards 2007
'Offshore Law Firm of the Year 2007'	The Lawyer Awards 2007
'Jersey Law Firm of the Year 2007'	Who's Who Legal Awards 2007
'Offshore Law Firm of the Year 2007'	Citywealth Magic Circle Awards 2007

### **AWARDS 2006**

'Niche Firm of the Year 2006'	Legal Week Awards
'Offshore Law Firm of the Year 2006'	Chambers Global Awards
'Offshore Legal Team of the Year 2006'	STEP Private Client Awards
'Top Offshore Law Firm of the Year 2006'	Alpha Awards

## 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.

## Guernsey

Guernsey has a well-established legal system which has been enhanced over the years by the introduction of modern legislation covering all important aspects relating to the finance industry. This has resulted in Guernsey developing and maintaining a reputation as a well-regulated and attractive centre to conduct business.

Guernsey's low tax status, its long history of financial and political stability, good banking and professional infrastructure, GMT time zone and proximity to the UK and Europe, have ensured that Guernsey is a first-rate, thriving, offshore financial centre.

Our practice in Guernsey focuses principally on finance, including investment funds, private equity and corporate, all aspects of trust matters and commercial litigation.

The Guernsey office of Ogier has witnessed dramatic growth in recent years with the appointments of several expert lawyers to service the volume and level of instructions received.

<b>Job Overview</b>	
<b>Job Title:</b>	Compliance Manager (Guernsey)
<b>Group:</b>	Ogier Group Services
<b>Team:</b>	Compliance

### **Position Purpose**

Operating as part of the Ogier Group compliance function, the Compliance Manager will have overall responsibility for the compliance function in the Guernsey office, acting as the MLRO and Compliance Officer for all Guernsey businesses and regulated entities.

The Compliance Manager is responsible for ensuring compliance with those laws, regulations and regulatory guidance that affect Ogier Group’s financial service and relevant businesses which are based, licensed, or incorporated in Guernsey (collectively “the Ogier Group (Guernsey)”) and all policies and procedures adopted by the Ogier Group (Guernsey).

The Compliance Manager will act as de facto company secretary to all companies within the Ogier Group (Guernsey), it being understood that the company secretary will in all cases be a corporate vehicle.

As part of the Compliance (Europe) management team, the incumbent is expected to contribute to the ongoing development and maintenance of an effective Compliance function at Ogier.

### **Position Summary**

- Involvement:** To attend and constructively contribute to:
- Local fiduciary practice team meetings
  - Local legal practice meetings
  - Group Compliance (Europe) meetings
  - Other internal committees/meetings as required from time to time
- Information:** The Compliance Manager is eligible to receive relevant business development information, management or financial accounts pertaining to the Compliance team
- Delegation:** The Compliance Manager is authorised to certify documents and correspond directly with third parties on Compliance issues, without reference to others
- HR Delegation:** Involvement in management and development of direct reports in conjunction with Senior Manager Compliance (Europe). Conduct recruitment interviews for new Compliance team members in conjunction with HR

## **Performance Expectations & Deliverables**

### **Regulatory Compliance**

- Act as Compliance Officer for the Ogier Group (Guernsey) and perform those duties prescribed by its own policies and procedures and applicable legislation and regulations
- Conduct and oversee regular compliance reviews of Ogier Group (Guernsey) client entities, ensuring that all comments raised during compliance reviews are cleared adequately and within agreed timeframes
- Monitor and report any changes to the legislative and regulatory environment that affects the Ogier Group (Guernsey)'s operations or strategic plans
- Implement and ensure compliance with policies and procedures which are required to satisfy Ogier Group standards and obligations arising from Guernsey's legislative and regulatory environment
- Provide commercial and pragmatic advice on the proper conduct of the Ogier Group (Guernsey)'s procedures and any compliance issues arising in Guernsey
- Promote a compliance culture in the Ogier Group (Guernsey)
- Evaluate and monitor adequacy of anti-money laundering policies and procedures adopted by the Ogier Group (Guernsey)'s introducers and intermediaries
- Provide regular Compliance reports to all local boards and management teams as appropriate

### **Money Laundering Reporting Officer Responsibilities**

- Maintain awareness of current money laundering trends and typographies
- Act as principal liaison with the Guernsey F.I.U.
- Receive, investigate and determine need for external disclosure of suspicions reported by Ogier Group (Guernsey) personnel
- In conjunction with other compliance managers, review and ensure accuracy and currency of anti-money laundering training programme material

### **Company Secretarial**

- Act as de facto company secretary for all Ogier (Group) Guernsey companies
- Ensure that all board meetings of Ogier Group (Guernsey) companies are conducted and recorded in accordance with Ogier Group standards
- Attendance at all Ogier Group (Guernsey) board meetings
- Ensure any local signatory lists are maintained and updated as required
- Ensure all statutory and regulatory filings for Ogier Group (Guernsey) are complete and accurate and are effected in a timely manner

### **Finance and Administrative Responsibility**

- Ensure timesheets for both self and direct reports are input on a daily basis
- Ensure that all documents emanating from the Compliance Team in Guernsey requiring authorisation are reviewed and signed as appropriate in a timely manner
- Monitor controls over the administration of client files from a quality control standpoint

## **Team Management**

- Responsible for the performance and development of direct reports
- Responsible for conducting appraisals and setting objectives for direct reports in a timely and objective manner in consultation with the Senior Manager Compliance (Europe)
- Responsible for ensuring that both self and team members effectively manage their time, effort and resources in order to generate maximum efficiencies

## Competencies

Personal	Finance	Self Management	Communication	Leadership	Management	Operational Effectiveness	Business Acumen
<p>Pays attention to detail.</p> <p>Deals with others in an honest and straightforward manner.</p> <p>Understands the rigours and importance of regulatory control.</p> <p>Holds professional qualification or equivalent practical experience in area of expertise.</p> <p>Applies drive, motivation, energy and enthusiasm for getting the job done.</p> <p>Demonstrates flexibility and adaptability in approach to work.</p> <p>Projects a positive image for others to have confidence in.</p> <p>Prides oneself on quality of work and standards of professionalism and integrity in all interactions with others.</p> <p>Takes personal responsibility for making things happen.</p>	<p>Understanding of management accounting principles and accounts.</p> <p>Understands the dynamics of leverage and utilisation to increase income and profit.</p> <p>Efficient knowledge of working capital management processes.</p>	<p>Takes personal responsibility for own development, setting challenging development goals.</p> <p>Actively seeks and takes advantage of a wide range of learning opportunities, as available.</p> <p>Seeks feedback on own performance, accepting constructive criticism without becoming defensive.</p> <p>Addresses areas of personal effectiveness that have been identified through feedback, demonstrating personal awareness of behaviours and attitudes.</p> <p>Adopts a positive approach to change and is prepared to develop and try new ways of doing things.</p> <p>Keeps up to date with technology and business tools relevant to the role.</p> <p>Maintains an appropriate level of e-literacy, including the ability to use common PC applications.</p>	<p>Accurately and clearly conveys timely information and ideas, using a style and manner of presentation which meets the diverse needs of the audience.</p> <p>Treats people with respect and courtesy, recognising their needs and views.</p> <p>Brings conflict into the open and encourage and/or facilitate a beneficial resolution of conflict.</p> <p>Deals with people in an honest and straight forward manner.</p> <p>Displays tact, sensitivity and diplomacy in the handling of disagreements and conflict.</p> <p>Present effective arguments to influence others and achieve negotiated solutions.</p> <p>Anticipates and prepare for other people's reactions to communications.</p> <p>Demonstrates active listening skills</p>	<p>Provides staff with reassurance and encouragement when they face difficulties.</p> <p>Creates a motivated environment where goals can be achieved.</p> <p>Creates an open environment where people feel encouraged to test ideas and ask questions</p> <p>Reinforces Ogier's values through leading by example in actions and words.</p>	<p>Provides timely, honest and constructive feedback to staff, colleagues and managers both formally and informally.</p> <p>Ensures team members have technical guidance, support and direction.</p> <p>Recognises and rewards people for good performance and positive contributions.</p> <p>Confronts poor performance or unacceptable behaviour in a timely, clear and direct manner that helps people develop.</p> <p>Identifies talent, encourages equitable and appropriate learning opportunities so staff develop to their potential.</p> <p>Considers cost implications (financial and opportunity) and efficiencies when making decisions and managing resources.</p> <p>Models and actively supports diversity behaviours and progress towards diversity initiatives.</p>	<p>Achieves the agreed outputs or results for self and the team within the determined quality standards.</p> <p>Takes personal responsibility for making things happen.</p> <p>Shows commitment to improving results identifying and developing opportunities for improving systems and processes and encourage others to do the same.</p> <p>Acts quickly and decisively, tackling problems head-on.</p> <p>Demonstrates flexibility and adaptability in approach to work, encouraging others to do the same.</p> <p>Encourages people to take personal responsibility for their work and make their own decisions.</p>	<p>Makes sense of large amounts of information, getting to the heart of the problem quickly.</p> <p>Makes effective and timely decisions based on consideration of the facts and alternatives available.</p> <p>Considers and understand the implication of judgements on the business.</p> <p>Analyses problems from different points of view.</p> <p>Consults with others in making decisions whenever appropriate.</p> <p>All decisions are consistent with and support broader organisational goals, legislative requirements and organisational policies.</p> <p>Develops and explains the reasoning behind judgements, conclusions and decisions.</p> <p>Steps back and reflect on the environment, drawing conclusions from what is seen.</p> <p>Establishes, builds and maintains strong relationships and networks with external contacts</p>