

## Job Description

<b>Position Title</b>	Investigator, Enforcement
<b>Job Grade and Title</b>	Temp Contractor
<b>Division and Department</b>	Policy and Enforcement
<b>Reporting Line</b>	Associate Director

<b>About the Division</b>	
<p>The Policy and Enforcement division has two departments.</p> <p>The Policy Department is responsible for ensuring that the QFC's legislative and regulatory regime is developed to meet the QFC Regulatory Authority's statutory regulatory objectives and conforms to best practice international standards of regulation as well as enabling the Regulatory Authority to address new opportunities, initiatives and risks, and market and regulatory developments generally.</p> <p>The Enforcement Department is responsible for all enforcement functions of the QFC Regulatory Authority. In performing its enforcement role, this Department focuses on reducing the risk of non-compliance wherever possible. When the QFC Regulatory Authority detects conduct that may threaten the integrity of the QFC, this Department will act swiftly and decisively to stop the conduct, minimise the effects and prevent similar conduct recurring. In so doing, it will act fairly, openly and accountably in the exercising of its enforcement powers. Enforcement powers include investigative powers and the discipline of firms and individuals that breach relevant regulatory requirements and rules. It is charged with developing and maintaining formal and informal relationships with regulators, agencies and other bodies to ensure the effective exchange of information and adherence to the highest common standards.</p>	
<b>Narrative Description</b>	
<p>The incumbent will assist in the Enforcement section of the Division to further develop and implement enforcement policies, procedures and programs aimed at detecting and preventing conduct which may be in breach of the QFC law, Regulations, or the QFCRA Rulebook. The incumbent will assist in interpreting the QFCRA powers as a Regulator and plan and help conduct investigations utilising these powers to achieve the desired regulatory outcomes. The incumbent will also work with the Policy section in developing and implementing policy initiatives and updates that impact the work of the Division.</p>	
<b>Main Responsibilities</b>	
<ul style="list-style-type: none"> <li>• Work within the division to investigate cases concerning violations of QFC laws, rules, and regulations</li> <li>• Assist in the review and interpretation of enforcement related laws, rules and regulations and provide internal guidance and advice on enforcement matters</li> <li>• Liaise with other Divisions to manage referral of potential investigations</li> <li>• Provide support in planning and conducting investigations including drafting all necessary documentation for internal and external decision making and communication purposes, conducting interviews, gathering data, and conducting research</li> <li>• Work with external resources (forensic accountants) to identify and understand complex financial services communications and data as part of the evidence gathering and qualification process</li> <li>• Assist in ensuring that effective co-operative relationships are developed with other Divisions, regulators, central banks, and other enforcement bodies.</li> <li>• Assist with internal general legal concerns and providing legal advice on a wide variety of topics as required</li> <li>• Develop appropriate liaison with other regulators maintaining a constant flow of information and cooperative sharing of best practice</li> </ul>	

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### Essential Skills & Experience

- Bachelor's Degree in Law or Legal Studies, JD, or other relevant legal degree
- In-depth understanding of law from a common law jurisdiction
- Knowledge of investigation, evidence rules, and legal processes
- 3- 5 years post qualification experience working with investigations of financial crimes, AML, corporate governance, conduct of financial services, crime and/or regulatory focus

### Leadership Competencies

- Conduct or assist the sub-function area or a project
- May have other roles reporting to the incumbent or dotted reporting line
- Assist in rolling out the overall business planning and deliverables of the department/function
- Supporting the Nationalisation Strategy
- Coaching and developing employees