



POSITION ANNOUNCEMENT

The Capital Markets Authority is a statutory agency charged with the responsibility of regulating and developing an efficient capital market in Kenya. The Authority invites applications from qualified candidates for the following positions:

SENIOR COMPLIANCE OFFICER (GRADE 5) - REF: CMA/SCO/o8/2025 – 2 POSTS

Job Purpose

Reporting to the Manager Compliance, the Senior Compliance Officer is responsible for providing guidance and advice to market intermediaries on compliance practices through close liaison with the market participant's compliance staff, risk and internal audit to ensure strong internal control and compliance environment.

Job Responsibilities

- 1) Coordinating risk profiling of market intermediaries and preparation of reports to management;
- 2) Coordinating preparation of inspection reports, compliance status report and risk profiling summaries;
- 3) Conducting onsite and offsite inspection activities in accordance with risk-based supervision methodologies and approved plans as well as terms of references;
- 4) Follow up with market intermediaries to ensure compliance with the capital markets Act, regulations, rules and guidelines as well as anti-money laundering law to protect the integrity of the capital markets;
- 5) Tracking implementation of the annual inspection plan for regulated entities;
- 6) Providing guidance to regulated persons on compliance practices through liaison with their compliance, risk management and internal audit staff to inculcate strong internal control and compliance environment;
- 7) Conducting research on best practices on market supervision including Anti-money laundering practices;
- 8) Conducting trend analysis on compliance with regulatory requirements and maintain compliance database for all regulated entities to inform policy and regulatory reforms; and
- 9) Implementing relationship management policy of regulated persons.

Minimum Requirements

- a) Bachelor's degree in law/business or relevant field;
- b) If a business-related degree professional qualification such as ACCA, CFA, CPA, CISI, CPS or any Finance & risk related qualification;
- c) If a lawyer an Advocate of the High Court of Kenya and member of the Law Society of Kenya;
- d) Member of professional body in good standing where applicable;
- e) A supervisory course lasting not less than 2 weeks is an added advantage; and
- f) At least 4 years' relevant experience.

Key skills, Knowledge & Competencies

- a) Risk Management skills;
- b) Knowledge on Compliance, Monitoring and Internal Controls;
- c) Professional Scepticism;
- d) Interviewing skills;
- e) Understanding of the CMA regulations and the Kenyan legislative system;
- f) Ability to meet tight deadlines as well as work with minimal supervision; and
- g) Ability to work effectively and efficiently in a team.

HOW TO APPLY

If you meet the above requirements, please send an **application letter and Curriculum Vitae only** in pdf format to recruitment2025@cma.or.ke Applications to be addressed to:

**Chief Executive Officer
Capital Markets Authority
P. O. Box 74800-00200
Nairobi**

Applications should be received on or before **February 25, 2025**. Only shortlisted candidates will be contacted for interviews.

Successful candidates will be required to fulfil requirements under Chapter (6) of the Constitution of Kenya.

1. Certificate of Good Conduct from the Directorate of Criminal Investigations
2. Ethics and Anti-corruption Clearance Certificate (EACC)
3. Higher Education Loans Board (HELB) Clearance Certificate
4. Current Tax Compliance Certificate from the Kenya Revenue Authority
5. Credit Reference Bureau (CRB) Clearance Certificate

"Capital Markets Authority is an Equal Opportunity Employer. Persons with disabilities are encouraged to apply". Canvassing will lead to automatic disqualification.

THE CAPITAL MARKETS AUTHORITY DOES NOT CHARGE A FEE AT ANY STAGE OF THE RECRUITMENT PROCESS