

VACANCY NOTICE

Pearl Bank is a Commercial Bank whose purpose is forstoring prosperity for Ugandans. Our high imapct goals are; driving sustainable financial inclusion and stimulating entrepreneurship and service. The Bank is growing and giving opportunity for its competent and achievement driven employees as well as the public to fill up the role below that has fallen vacant.

INTERNAL ADVERT

POSITION DESCRIPTION

JOB TITLE: COMPLIANCE OFFICERS (03)

REPORTS TO: COMPLIANCE SUPERVISORS

JOB PURPOSE

- Ensure that the institution's business and conduct fully complies with all the relevant Policy, Regulatory, AML/ CFT/CPF and Sanctions Compliance requirements.

KEY RESPONSIBILITIES /KEY DELIVERABLES

- Perform planned activities and support to ensure proper implementation of the AML/CFT/CPF program.
- Perform risk-based transaction monitoring and screening for all transactions across the different distribution channels.
- Preparation of compliance monitoring and relevant regulatory reports.
- Providing direct support to designated business functions to address the reported and/emerging compliance lapses.
- Serving as a contact point within the Bank for compliance with queries from staff members.
- Ensuring that both internal and external customer relationships are maintained with a risk-based approach as per the existing policies and procedures and in line with the AML/CFT/CPF program in place.
- Ensure accuracy of KYC/CDD information collected by the bank and track all related reviews and updates as per the policies and requirements in place.
- Perform customer screening at on boarding and on an ongoing basis and ensuring that all identified issues are reported to Management in a timely manner.
- Initiate updates to the AML/CFT/CPF and Sanctions Policies and the related procedures and processes based on the results of the risk assessment.
- Ensure proper record keeping of all customer information.
- Assist in planning for compliance checks and properly document the tests carried out and conclusions drawn.
- Identification, recommendation and supporting improvements to the Bank's overall compliance program.
- Ensure own compliance to the Bank's code of Conduct which includes but not limited to adhering to AML/CFT/CPF requirements.
- Escalate suspicious transactions/activities reports for review to ensure timely reporting.
- Implement the Bank's sanction screening framework to ensure that it is comprehensive and properly implemented.
- Review and closure of alerts flagged by the Financial Crime Management system within the agreed timelines.
- Support in the review and improve the customer risk profiling exercise.
- Support in the review of risk assessments for new products, services, technologies among others.
- Provide sound Compliance advisory services to the bank delivered fast and accurately to support the bank's Compliance strategy.
- Propose and review parameters for automated customer risk profiling on boarding and on an ongoing basis.
- Support in the implementation for the AML/CFT/CPF training program.
- Update the suspicious transactions/activities reports tracker as and when required.
- Perform entity due diligence validation.
- Conduct Customer Due Diligence (simple and enhanced).
- On-going KYC and Due Diligence Reviews.

- Develop and ensure regulatory reports for the Large Cash monetary transactions, the Aggregated Cash and monetary transactions and International Wire Transfer reports are accurate and submitted on time with appropriate control.
- Escalate any system challenges involving Go-AML or the core banking system affecting for onward engagements with the regulators.
- Conduct reviews in the CBS regarding the regulatory inquiries on customers are responded to within regulatory period or sooner depending on the expected submission date.
- Ensure prudent customer confidentiality is maintained.
- Any other duties assigned by the supervisor in line with the role

Policy compliance

- Support the development, review, and maintenance of Bank's policies and procedures.
- Ensure policies align with regulatory requirements, risk management frameworks, and bank's objectives.
- Monitor and assess adherence to internal policies across departments.
- Conduct policy compliance reviews, testing, and assessments.
- Identify policy gaps, inconsistencies, or non-compliance issues.
- Follow up on closure of policy breaches and non-compliance incidents.
- Provide guidance to business units on policy interpretation and application.
- Assist in developing and delivering policy awareness and training programs.
- Prepare policy compliance reports and dashboards for management and governance committees.
- Promote a strong culture of policy adherence and ethical conduct.

Regulatory Compliance

- Support in the monitoring of applicable laws, regulations, and regulatory guidance relevant to the organization.
- Translate regulatory requirements into internal policies, procedures, and controls.
- Monitor and assess the Bank's adherence to applicable regulations.
- Advise business units on regulatory obligations and compliance-related matters.
- Identify compliance gaps, issues, or breaches and recommend corrective actions.
- Support in the regulatory examinations, audits, and inquiries.
- Track regulatory changes and assess their impact on the Bank's operations.
- Ability to build supportive relationships with different departments and units across the company.
- Credibility, professionalism, and confidence to implement best practice.

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BUSINESS BEHAVIOURS

- **Passion:** Committed to excellence, delivering outstanding results and making a positive impact on our customers and stakeholders.
- **Teamwork:** Collaborates, mutual respect, and diverse perspectives, to achieve shared success and deliver greater value to the Bank.
- **Integrity:** Uphold honesty, transparency, and accountability, ensuring ethical practices in every action.
- **Innovation:** Embrace creativity and forward-thinking, continually seek new solutions to enhance customer experience and drive business growth.

QUALIFICATIONS, EXPERIENCE AND COMPETENCIES REQUIRED

- A bachelor's degree in discipline that is relevant.
- At least three years' experience in Banking or financial consultancy services.

THE FOLLOWING DOCUMENTS SHOULD ACCOMPANY THE APPLICATION

- Cover letter, Detailed CV, and Copies of academic documents all as one file.

MODE OF APPLICATION

- Online applications addressed to **Chief People & Strategy Officer**, Pearl Bank Uganda.
- Send application to **hr@pearlbank.com** with job title as subject.
- Closing Date: **Friday 9th January 2026** at **5:00pm**.
- Only shortlisted candidates will be contacted.

Pearl Bank Uganda Ltd is an equal opportunity employer.