

# JOB DESCRIPTION



## 1. POSITION DESCRIPTION:

<b>Position Title:</b>	Senior Manager, Enforcement
<b>Reports to:</b>	Associate Director, Enforcement
<b>Division:</b>	Enforcement
<b>Location:</b>	Dubai
<b>Grade:</b>	Senior Manager

## 2. JOB PURPOSE:

To foster and maintain confidence in the financial services industry in the DIFC by conducting investigations, enforcing compliance with the regulatory framework and initiating action against those who fail to comply with statutory obligations.

## 3. REPORTING STRUCTURE:

<b>Number of Staff Supervised</b>	<b>Direct Reports:</b>	0
	<b>Total:</b>	0

## 4. KEY RESPONSIBILITIES:

### Enforcement

- Prevent detect and restrain conduct that causes or may cause damage to the reputation of the DIFC.
- Receive, assess and respond to allegations of misconduct.
- Carry out investigations and prepare briefs of evidence and support litigation activities.
- Support the DFSA's supervisory divisions in carrying out their regulatory activities.
- Participate in outreach activities that promote the DFSA's objectives.
- Develop and enhance relationships with the DFSA's internal and external stakeholders.

### Policies, Systems, Processes & Procedures

- Implement departmental policies, systems and procedures so that all relevant procedural/legislative requirements are fulfilled while delivering a quality, cost-effective service.

### Reports

- Prepare timely and accurate departmental statements and reports to meet the Dubai Financial Services Authority (DFSA's) and department's requirements, policies and standards.

### Related Assignments

- Perform other related duties or assignments as directed.

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### **5. WORK ENVIRONMENT:** *A general description of the work environment in the department*

The division is industrious and proactive and has a robust approach to enforcement. The division comprises managers and senior manager (approximately 6) who report to the Associate Director, who in turn reports to the Head of Enforcement. The division is supported by an Officer. The division collaborates with other DFSA divisions and stakeholders to achieve its regulatory objectives.

### **6. COMMUNICATION:** *Define what is communicated and to whom*

#### **Internal:**

- Regulatory information, advice, recommendations and training is communicated / delivered to the various DFSA divisions and regulatory committees.

#### **External:**

- Regulatory information, advice, recommendations and training is communicated / delivered to the various regional stakeholders including the Emirates Securities and Commodities Authority, UAE Central Bank, Dubai Police and prosecution authorities and to the various international stakeholders including other regulators, enforcement agencies and standard setting bodies.

### **7. AUTHORITY & DECISION MAKING:** *Define the nature of policy/procedure/instruction constraints and the nature of reporting relationships with the boss as well as any relevant financial sign-off authorities*

This position has no decision making authority outside the management of its own work flows. The Division has the authority to, and makes decisions to, exercise various powers relating to its enforcement functions and makes recommendations to commence investigations and take regulatory action.

### **8. QUALIFICATIONS, EXPERIENCE, & SKILLS:** *Define the skills, knowledge and experience specific to the job in question (includes generic skills)*

#### **Eligibility Criteria:**

- Bachelor's degree or higher qualifications in law, accounting or finance.

#### **Minimum Experience:**

- 8 years' experience in a regulatory, prosecutorial or forensic accounting role with particular emphasis on the analysis of financial information and the investigation and prosecution of offenders.

#### **Knowledge, Skills & Attributes:**

- Superior knowledge of financial services, regulation, investigation, court procedure and practice.
- Highly developed forensic financial analytical capacity.
- English (Arabic an advantage).
- Strong investigation and advocacy skills.
- Strong interpersonal skills and is a team player.
- Highly developed written and oral communications skills.
- Highly developed planning and organisational skills.
- Strong legal acumen.
- Manages own work flows well and those of others.
- Results orientated.
- Organised and punctual.