

JOB ADVERT

A foremost Professional Institute in Nigeria needs proven talent to join its workforce to occupy the position of the **Head, Legal & Ethical Compliance Services**.

Responsible To: The Registrar & Chief Executive
Location: Lagos
Employment Type: Full-time

ABOUT THE INSTITUTE

The Chartered Institute of Stockbrokers (CIS), is the foremost professional body primarily responsible for determining the standards of knowledge and skill to be attained by persons seeking to become chartered members. It also aims to promote and protect the interest of the securities and investment profession in Nigeria by upholding its members to the highest standards of service and integrity. CIS plays a pivotal role in developing the capital market and ensuring global best practices in the securities industry.

As part of its on-going transformation process, the institute seeks to recruit exceptional Intellectual to fill the senior level position of the **Head, Legal & Ethical Compliance Services**.

JOB SUMMARY

This is a strategic role for a passionate and dynamic Legal Professional who is committed to upholding the highest standards of corporate governance, regulatory compliance, and ethical practice within the Institute and across the Nigerian capital market.

The successful candidate will provide strategic leadership and expert advice on all legal, ethical, and compliance matters affecting the Institute and its members, ensuring adherence to regulatory requirements and professional standards.

KEY RESPONSIBILITIES

➤ **Legal Services**

- Provide expert legal advice and guidance to the Institute on all corporate, regulatory, and operational matters.
- Draft, review, and manage legal documents, including contracts, MOUs, policies, and agreements.
- Oversee the Institute's litigation portfolio, liaising with external counsel as necessary.
- Interpret and advise on relevant laws, regulations, and statutes affecting the Institute.

➤ **Ethical Oversight**

- Promote a strong culture of ethics and professional integrity within the Institute and among its members.
- Lead the development, implementation, and periodic review of the Institute's Code of Ethics and Professional Conduct.
- Handle cases of professional misconduct or ethical breaches in line with due process and disciplinary procedures.

- Serve as Secretary to the Institute’s Investigating Panel and Disciplinary Tribunal.

➤ **Compliance Management**

- Ensure the Institute’s compliance with all statutory and regulatory obligations, including filings with relevant government agencies.
- Monitor, evaluate, and report on regulatory changes affecting the Institute’s operations.
- Implement effective compliance frameworks, policies, and internal controls to mitigate legal and reputational risks.
- Collaborate with departments to ensure consistent adherence to internal policies and regulatory requirements.

QUALIFICATIONS

- **Law degree (LLB)** from a recognized institution.
- Qualification as a **Barrister and Solicitor of the Supreme Court of Nigeria**.
- **Master's degree in Law (LLM)**, preferably with specialization in Securities Law, Financial Regulation, or Corporate Law.
- Minimum of **10 years post-qualification experience**, with at least **5 years in a senior legal role** within the financial services sector.
- **Professional certification** in compliance, ethics, or corporate governance would be an advantage.
- In-depth knowledge of securities laws, capital market regulations, and corporate governance principles.
- **Current practicing license**.

PERSON SPECIFICATION

➤ **Knowledge and Skills**

- Comprehensive understanding of legal frameworks governing financial markets and securities trading
- Strong analytical skills with ability to interpret complex regulations
- Excellent verbal and written communication skills
- Proficient negotiation and conflict resolution abilities
- Strong leadership and team management capabilities
- Ability to work under pressure and meet strict deadlines
- Skilled in conducting investigations and managing disciplinary processes

➤ **Personal Attributes**

- Impeccable integrity and ethical standards
- Proactive and solution-oriented approach
- Attention to detail and accuracy
- Excellent interpersonal skills
- Confidentiality and discretion
- Self-motivated with ability to work independently
- Resilience and adaptability

➤ **Experience**

- Proven experience managing legal and compliance functions in a financial institution or professional body
- Experience in developing and implementing compliance frameworks
- Background in handling regulatory inquiries or investigations
- Experience in professional ethics enforcement

- Track record of successful stakeholder management

WHAT WE OFFER

- Competitive salary and benefits package
- Professional development opportunities
- Collaborative and professional work environment
- Opportunity to shape ethical and compliance standards in the securities industry

HOW TO APPLY

Interested and qualified candidates should send their applications, including a detailed CV and cover letter, to jobvacancies@cisinigeria.org with the subject line “**Application for HLECS**”.