



## COMPLIANCE OFFICER

### DUTIES

- The Compliance department ensures that Natixis follows all laws and regulations governing its activity and implements both *ex ante* (procedures, advisory, training) and *ex post* initiatives (second-level controls).
- Within the Compliance department, the Compliance Officer is responsible for a predetermined scope.

In that capacity, his/her main duties are as follows:

- Advise and assist operating personnel with the implementation of regulatory measures;
- Monitor activities;
- Draft compliance procedures/standards for the scope of the entities covered;
- Provide the regulatory and technological monitoring of the covered scopes;
- Participate in the development and implementation of training for operating staff;
- Contribute to the issuance of compliance opinions on new products;
- Perform compliance controls for the entire covered scope.