Compliance Manager – Role Profile

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| Department | Compliance |
| Line Manager | MLRO |
| Position Type (Full time / Part time) | Full time |
| Direct Reports | 2 x Quality Assurance Analysts |
| Location | Home working |

## Department Description

You would be working in a small (but expanding) Compliance team working directly with the MLRO, Financial Crime Manager and General Counsel. You will be part of a core team responsible for successfully delivering second line of defence capability within the firm.

## Purpose of Role

* To support and manage the development and implementation of the firm’s second line of defence arrangements, including compliance, regulatory reporting, anti-money laundering, financial crime prevention, risk management and business advisory.
* Ensuring that a commercially orientated service is delivered, whilst continuing to meet best practice, regulatory and statutory requirements.
* To support the overall strategic direction of the business and make a significant contribution to the firm’s commercial success whilst promoting the company’s values at all times.

## Key Responsibilities

Compliance

* Manage the continued development and implementation of the Firm’s Financial Crime Compliance Framework with a particular focus on the Compliance Monitoring Programme (“CMP”)
* Manage the Firm’s Thematic Review Schedule including the preparation of reports
* Providing financial crime advice policy and regulatory support to the business.
* Manage the firm’s internal and external financial crime regulatory reporting requirements.
* Developing and delivering Compliance training programmes.
* Lead on third party due diligence exercises
* Develop an extensive understanding of FCA regulations as applicable to the firm.

Anti-Money Laundering and Financial Crime

* Providing support to the MLRO, where required, in the management of the firm’s Anti-Money Laundering and Financial Crime Management arrangements.

General

* Support various executive committees and subcommittees as appropriate.
* To deputise as appropriate for the MLRO.
* Pro-actively work with the MLRO and the business in order to significantly and positively contribute towards the firm’s commercial success.

## Experience

* Excellent knowledge, experience and capability across Compliance Monitoring, Financial Crime and Risk Management
* Sound technical and systems skills in order the support the development and operation of systems to support the firm’s second line of defence
* Able to interact with a variety of colleagues and other stakeholders across the Firm and to deputise as appropriate for the MLRO

## Capabilities and Competencies

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| --- | --- |
| Compliance / Financial Crime | Teamworking |
| * Good Horizon Scanning capabilities * Monitoring experience across both Compliance and AML disciplines * Experience of preparing/submitting FCA Regulatory reporting (through GABRIEL/CONNECT/WIRES) * Investigating and reporting on KYC/B/Onboarding, PEPs/Sanctions, SARs and Fraud * Experience in payment and transaction monitoring | * Excellent Team player * Open, honest and acts with integrity * Good investigative skills * Strategically minded but also very hands on * Prepared to challenge but to do so in a constructive manner * Working with perspective rather than functional silo * Able to research regulations/guidance to work out solutions to questions posed by colleagues |
| Customer and Service Focus | Technical Knowledge |
| * Good, clear communicator * ‘Can do’ flexible and solutions orientated * Committed, hardworking and focused on delivering results | * Sound working knowledge of regulation as it applies to the services and activities of the Firm, in particular the MLRs and relevant parts of the FCA handbook * Experience/knowledge in all /some of the following; Payments, Deposits, Merchant Acquiring and Cards * Currently / willing to study for relevant professional qualification |

## Additional Information

None