Financial Crime Manager – Role Profile

|  |  |
| --- | --- |
| Department  | Compliance |
| Line Manager | MLRO |
| Position Type (Full time / Part time) | Full time |
| Direct Reports | 8 |
| Location  | London |

## Department Description

You would be working in a small (but expanding) Compliance team working directly with the MLRO. 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 the development and implementation of the firm’s financial crime framework, with a particular focus on financial crime prevention including managing fraud risks, preventing bribery and corruption, reporting suspicions of money laundering, customer due diligence requirements, transaction monitoring and preventing market abuse
* 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

* Support the continued development and implementation of the firm’s financial crime framework
* To actively work with, monitor and advise the business in relation to Fraud / Financial Crime matters (as well as acting as a fraud SME more widely across the Firm)
* Supporting the MLRO the day-to-day management of the firm’s Anti-Money Laundering and Financial Crime Management arrangements.
* Close working with the business and other senior stakeholders providing advice, guidance and support around AML and Financial Crime matters, particularly on complex structures or transactions and acting as a SME on fraud matters
* Leading on the development of firm wide policies and procedures for AML, CTF and other financial crime areas
* Supporting the firm’s internal and external compliance and regulatory reporting requirements relating to financial crime (including relevant payments fraud reporting and the annual Financial Crime report)
* Developing and delivering Anti-Money Laundering and Financial Crime Management training programmes

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.
* Influence the culture within the business, to deliver fair treatment of customers and good customer outcomes.

## Experience

* Strong knowledge, experience and capability across Financial Crime
* Strong 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

|  |  |
| --- | --- |
| Financial Crime | Teamworking  |
| * Relevant Financial Crime monitoring experience
* Experience developing anti financial crime strategies, frameworks and controls
* Experience of preparing/submitting FCA Regulatory reporting (through GABRIEL/WIRES)
* Investigating and reporting on KYC/B/Onboarding, PEPs/Sanctions, SARs and Fraud, providing advice on the handling of sanctions and AML/CTF positive alerts as they arise
* AML Transaction monitoring
* Law Enforcement Requests
* To develop appropriate internal reporting / regular management information to be presented to senior management
* Experience in payment and transaction monitoring/activities, SWIFT messaging
* Use/experience of recognised Financial Crime software/technology
* Horizon Scanning capabilities in relation to Financial Crime, keeping up to date with industry developments and better ways of tackling financial crime
 | * Strong Team player
* Open, honest and acts with integrity
* Good investigative skills
* Strategically minded but also very hands on
* To raise and escalate financial crime risks identified, suggesting solutions to mitigate those risks
* 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
* To assist with requests from external parties including FCA
* Represent the firm at external financial crime meetings and conferences
 |
| Customer and Service Focus | Technical Knowledge  |
| * Good, clear communicator
* ‘Can do’ flexible and solutions orientated
* Committed, hardworking and focused on delivering results
 | * Strong understanding of the UK, EU and Global regulatory framework and developments in regard to Financial Crime – specifically knowledge of legal obligations, regulatory and other requirements and guidance including POCA, the Terrorism Act, FCA, JMSLG, FATF, FATCA and EU money laundering directives
* Particular experience of Asset Finance, fraud investigations and reporting
* Relevant experience/knowledge in all /some of the following; Deposit Taking, Current Accounts, Commercial Mortgages, Trade Finance, Cards
* Currently / willing to study for relevant professional qualification
 |

## Additional Information

None