



Job Description

Job Title:	Business Compliance Manager
Department:	Business Development, Business Risk & Compliance
Reports to:	Head, Business Risk & Compliance
Direct Reports:	None initially, but increasing direct reports up to 2 or 3
Certified Person:	No
Budget Responsibility:	No

Purpose of role:

This role will directly support the Head of Business Risk and Compliance to direct and oversee all activities and deadlines. The role will assist in overseeing a high-volume function.

Assist the Head of Business Risk and Compliance in leading and supporting the function to create solution-driven interaction between Business Development, Compliance and Internal Audit, by achieving consistency and coherence, in all matters relating to Audit and Compliance.

Provide supervision and /or support to colleagues in the team.

Primary Responsibilities of Role:

- Supporting the Head of Business Risk and Compliance in the review and update of relevant departmental procedures to ensure continuing compliance adherence with relevant requirements under the UK regulatory regime.
- Lead meetings with senior stakeholders where required to assist the Head of Business Risk and Compliance.
- Champion projects and initiatives related to the continuous improvement of the Function through synergies and collaboration across the Bank, under the direction of the Head of Business Risk and Compliance.
- Support the Head of Business Risk and Compliance in developing, updating, and maintaining procedures ensuring the processes are continuously reviewed and improved.
- Reviewing new account applications received from the Relationship Manager ensuring that full due diligence is completed and escalate any issues to the Head of Business Risk & Compliance
- Assisting the Relationship Managers where requested to do so.
- Accurate maintenance of internal spreadsheets and record keeping.
- Assisting in the monitoring of KYB due dates and completion, liaising with Relationship Managers and Business Analysts.
- Conducting quality checks (QC) on KYB Reviews completed by Relationship Managers.
- Ensuring that any outstanding KYB reviews are managed and escalated appropriately.
- Assisting in the preparation of required reports and Management Information.
- Providing support in the ongoing Compliance training to Relationship Managers.
- Ensuring effective and accurate clients' records keeping.
- Assisting in the monitoring of departmental procedure failures, or failures in regulatory processes, or difficulties in implementation of amendments, as and when such occur.
- Assisting in the tracking of timely closure of all audit action points against the Business
- Assisting in the management of Financial Crime Prevention Committee (FCPC) Secretariat



- Foster, Support and embrace a culture of Compliance, Conduct Risk and Continuous Improvement
- Other related duties as assigned.

Individual Conduct Rules:

- **Rule 1:** You must act with integrity.
- **Rule 2:** You must act with due skill, care and diligence.
- **Rule 3:** You must be open and cooperative with the UK Financial Conducts Authority, the PRA and other regulators.
- **Rule 4:** You must pay due regard to the interests of customers and treat them fairly.
- **Rule 5:** You must observe proper standards of market conduct.

Competence Requirements:

Professional/Academic Qualifications:

- University Graduate
- Diploma or other compliance qualification is an advantage.
- ICA Certificate – Desired

Experience/Knowledge

- Must have a minimum of five-year experience in Banking/Financial Services with experience in AML/CFT & Compliance Risk Management, KYC / KYB reviews.
- Awareness and ability to quickly understand internal systems, processes, procedures, and relevant external influences (competitors, laws and regulations, market conditions, etc.)
- Working knowledge of standard business processes, products offered and the dynamics within the business.
- Experience of supervising and developing less experienced team members

Technical Skills:

- Working knowledge of FCA regulations, in particular conduct rules, AML and financial crime requirements, as well as any other related business compliance rules and regulation.

Interpersonal Skills:

- Have a mindset to improve process and efficiency
- Sound judgment, keen sense of urgency and initiative, and high level of professional and personal integrity
- Good oral and written presentation skills.
- Must be driven, articulate, proactive, approachable and pragmatic with a risk-based approach.
- Ensure gaps identified in reviews are effectively closed by the business in a timely manner.
- An ability to 'think outside the box' and look for creative solutions.
- Ability to work in a team-oriented work environment.
- Good presentation and stakeholder management skills.
- Good communication skills.
- Strong attention to detail, quality and accuracy.
- Proven record of collaborating with colleagues across geographic and functional boundaries.
- Strong drive for continuous improvement with a strong work ethic.

Languages:

- Fluency written and spoken English.
- Fluency in French would be highly advantageous.