

Job Description

Job Title:	Business Compliance Control Analyst
Department:	Business Compliance Control, Business Development
Reports to:	Head, Business Compliance Control
Direct Reports:	No
Certified Person:	No
Budget Responsibility:	No

Purpose of role:

To provide support to the Business in the management of inherent business and compliance risks towards a sustainable business growth whilst ensuring compliance with applicable laws and regulations.

Provide support to the unit's head in bridging the gap in quality and providing solution-driven interaction between Business Development and the Compliance Function, by achieving Quality Control Checks (Q.C.C) for consistency and coherence, in all matters relating to Business Compliance and Business Support

Primary Responsibilities of Role:

- Conducting Quality Checks (QC) on ALL new account opening applications received from the Relationship Managers (RMs) ensuring that full due diligence is completed and escalate any issues to the unit head.
- Providing support to the unit head in conducting QC on periodic Clients' Due Diligence (KYB) Reviews undertaken by RMs / Business Compliance Support on all high-risk relationships to ensure compliance with the Bank's Policy and CDD standards.
- Conducting sample QC of KYB reviews of lower risk clients performed by RMs in conjunction with Business Compliance Support Team.
- Carrying out sample QC of uploaded documents on Viewit by Business Compliance Support Team for accuracy.
- Assisting in the Quality Checks (QC) of Senior Management Approval Forms (SMAFs) and Client Risk Rating Assessment (CRRRA) Forms submitted by the Relationship Managers through Business Compliance Support before submission to FCPC.
- Assisting in the review and update of the Bank's Client Due Diligence Procedure in conjunction with Compliance and ensuring its implementation by the Business via QC.
- Assisting with the preparation and delivery of compliance training to Relationship Managers.
- Assisting in the management of Financial Crime Prevention Committee (FCPC) Secretariat to ensure timely communication of material and minutes and manage the FCPC timetable effectively.
- Assisting the unit head in creating and maintaining required Compliance MI or other information requested, from time to time, including those listed for the Board Audit & Risk Assessment Committee - Financial Crime (BARAC FinCrime) and the Compliance and Risk Management Committee (CARMCO).
- Maintaining up to date knowledge and understanding of the appropriate regulations and internal policies and procedures on the Bank's Financial Crime Prevention Policy, etc.
- Other duties as may be assigned

GDPR:

- Classify and protect sensitive information as per the Information Classification and Information Security Policies
- Coordinate with DPO to conduct data impact assessment if there are new marketing or business development projects involving personal data or a new information sharing requirement with third parties, in particular FBNL
- Immediately escalate to the DPO any data breach incident and Subject Access Request as per related policies

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:

- Educated to Degree level is likely, preferably in a relevant subject.
- Diploma or other compliance qualification is an advantage.
- ICA Certificate – Desired

Experience/Knowledge

- Must have a minimum of five years in Banking/Financial Services with experience in AML/CFT & Compliance Risk Management. Substantial experience in KYC / KYB reviews process assurance is a prerequisite.
- 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.

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.
- Experience with delivery of best practice quality assurance checks to ensure business meets the required compliance standards.
- Excellent analytical, interpretation, influencing and communication skills; ability to communicate and network effectively and influence relevant stakeholders.
- Ability to analyse and evaluate complex issues and sound judgement in determining appropriate actions/solutions.
- Service/Solutions Delivery

Interpersonal Skills:

- 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.

Competencies:

There are *six core behavioural competencies* applicable to every member of staff as part of FBN’s Performance Management Framework and are fundamental to the way in which we operate. The level of behaviour required for your role is detailed below and the full range of descriptors for each level is available in the Competency Framework Booklet.

	Competency	Level
1	Professionalism	3
2	Client Focus	3
3	Decision Making & Accountability	3
4	Working with Others	3
5	Change Orientation	3
6	Risk Awareness	3

Signed:

Date: