

SENIOR COMPLIANCE ANALYST

PURPOSE:

Primary responsibility is to execute elements of the monitoring plan, contribute to its development to the development and provide management reporting in a range of formats.

RESPONSIBILITIES:

- Execute elements of the risk based monitoring programme as agreed with the line manager and contribute to its development
- Primary compliance resource for AML on-boarding queries
- Input into business policies from the compliance perspective as appropriate
- Maintain records of all outstanding issues raised during monitoring and achieve resolution through liaison with management
- Provide support to the Compliance Administrator as needed
- Work closely with IT to develop monitoring and reporting solutions with the objective of improving efficiency and enhancing control
- Analysis of breach and error reports to confirm appropriate action has been taken; co-ordinate with the Operational Risk Manager
- Dealing with the analysis of complaints including facilitating appropriate responses as needed
- To provide cover as necessary including for routine retail fund monitoring activities
- Develop knowledge and understanding of financial promotion regulations with a view to becoming subject matter expert.

SKILLS:

- IT Literate - Advanced Excel & Database skills
- Good written and oral communication skills
- Time management and prioritisation
- Process discipline and attention to detail
- Determination to chase and close outstanding issues with senior managers when necessary
- Ability to form positive working relationships at all levels of the business to become a trusted source of advice and information
- Awareness of the need to escalate/refer complex issues to colleagues when appropriate
- A pragmatic approach to facilitate appropriate interpretation of rules and procedures in a compliant and business aware manner

KNOWLEDGE:

- C. 5 years minimum compliance experience including in respect of retail clients
- Experience of the financial services industry and financial markets
- A strong commitment to compliance principles
- Good awareness of aspects of the regulatory environment relevant to the role

QUALIFICATIONS:

- Relevant industry qualifications, including an appropriate compliance module, and a willingness to continue to study for additional qualifications if appropriate.

OTHER RELEVANT INFORMATION:

- Must be enthusiastic and keen to use initiative
- Team player - Willingness to become involved in other issues and not to be bound by a job description
- Understanding of key regulatory issues/risks for our business.
- Positive approach to working independently while escalating issues as required and providing regular management feedback and reporting

For more information call 0207 760 8777 or visit www.7im.co.uk

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