

## HR FORMS

# SENIOR COMPLIANCE OFFICER - JOB DESCRIPTION

AUGUST 2021



Job title:	Senior Compliance Officer	Version date:	August 2021
Business area:	Bristol Compliance	Job family:	Risk & Compliance
Reporting to:	Compliance Manager	Approved role?	No
Job holder:		Code staff?	

### Purpose

Reporting to the Compliance Manager, the Senior Compliance Officer will help to develop and maintain appropriate internal risk and compliance practices and controls within the Company to ensure companywide compliance with all regulatory, financial and core operational system requirements and provide guidance and advice to staff on all aspects of risk and regulatory compliance.

The role will be based in the Company's Head Office in Bristol but some travel may be required to other Company offices to provide compliance support and carry out monitoring activity

### Principal accountabilities:

- Promote and maintain a strong compliance culture within the Company
- Maintain and develop strong systems and controls, and management information, to ensure compliance in all areas, and evidence of compliance
- Undertake the day to day management and response to Compliance referrals and routine tasks on the team
- Mentor and support other members of the team, including work management, peer checking and quality monitoring
- Help develop and coordinate the delivery of policies and processes to put in place compliance activity where it is otherwise absent or unsatisfactory
- Assist with the development and delivery of compliance and financial crime training, ensuring that colleagues are properly trained and equipped to conduct their jobs.
- Continually and actively develop technical knowledge in relation to the regulatory framework governing the Company and its activities
- Assist in the preparation and delivery of the Compliance Monitoring Plan
- Deliver regular, timely and relevant reporting on Compliance Monitoring findings for management, including recommendations for remedial actions when necessary
- Act as a point of escalation to investigate suspicious referrals and other forms of potential financial crime

# CONTINUED

- Consistently and pro-actively promote the company’s policy on treating customers fairly (TCF)

## Qualifications

- 5 GCSE’s (or equivalent at grades A-C (or equivalent) to include English and Maths (essential)
- ICA Certificate in Compliance (desirable)
- Opportunity/expectation to take further qualifications

## Knowledge

- Financial Services experience (essential), particularly SIPPs (desirable)
- Basic systems navigation skills (including Microsoft packages) (essential)
- Good understanding of the principles of operational risk and compliance (desirable)
- Working knowledge of appropriate regulatory legislation and guidance (desirable)

## Skills

- Able to communicate effectively both verbally and written (essential)
- Good people and interpersonal skills to build up effective relationships at all levels internally and externally (essential)
- Ability to understand the needs of our customers and be focused around customer outcomes (essential)
- Ability to absorb, understand and apply new or existing principles to the role (essential)
- Ability to work well and keep calm under pressure (essential)
- Able to demonstrate the ability to identify data anomalies and issues and correct them at source or seek guidance as appropriate.

## Declaration

It is a requirement of Curtis Banks that its employees are aware of and conform to legal requirements in all activities, both internal and external. Implicit in this is that all managers and staff not only conform to the appropriate standards in terms of Health and Safety, but also work to the highest standards of business ethics.

- I acknowledge that I have read and understood the above Job Description.

Signature & Agreement:			
Employee signature:		Date:	
Manager signature:		Date:	