

## Compliance Manager

<b>Position Title:</b>	Compliance Manager
<b>Key Contacts:</b>	Risk, Internal Audit, Investment Banking, Finance, HR
<b>Responsible to:</b>	Head of Compliance
<b>Direct Reports:</b>	None
<b>Role type:</b>	Permanent
<b>Location:</b>	Edinburgh

### Job Description - Key Purpose

UK GIB is looking to appoint an experienced Compliance Manager to assist with the establishment and maintenance of a robust and effective compliance framework. The successful candidate will be able to provide assurance to the Head of Compliance around compliance with all relevant regulations and industry legislation.

Whilst UK GIB is not currently FCA or PRA regulated, we have a regulated subsidiary within the group, and there is an expectation that the bank will adopt the highest standards of compliance and governance, in line with best practice in leading regulated institutions.

### Responsibilities

#### Monitoring

- Assist with developing and implementing a risk-based compliance monitoring programme, identifying, assessing, monitoring and reporting all material compliance risks.
- Key responsibility for day to day monitoring and reporting of compliance risks.
- Primary responsibility for maintaining and monitoring compliance with key compliance policies, this includes maintaining relevant restricted investment registers, conflicts and gifts and hospitality.
- Ensure that compliance procedures, systems and controls are up-to-date and effective.
- Maintain the compliance manual, and all compliance procedure documentation.

#### Advisory

- Maintain an understanding of relevant regulatory requirements to provide advice and guidance to Head of Compliance and other senior managers enabling them to implement compliant policies and procedures.
- Be responsible for day to day management of employee training, including providing regular training to employees on compliance matters, including internal policies and procedures, the application of standards and guidelines, and relevant laws and regulatory requirements, promoting and enhancing a strong bank-wide compliance culture.

## **Risk Assessment**

Assist with the compliance risk assessment process ensuring that the compliance risks are appropriately identified and assessed.

## **AML Due Diligence**

- Carry out various AML due diligence checks for all key parties involved in each UK GIB transaction.
- Review due diligence information annually for all transaction files.
- Update internal processes and procedures as required due to regulatory changes.
- Provide pragmatic advice to the business related to AML requirements.

## **Reporting**

- Assist with preparing standard and ad-hoc information and data reports to regulators and other stakeholders as required.
- Prepare and manage on regular basis appropriate timely management information on compliance and regulatory issues to Head of Compliance including suggested mitigating actions.
- Assist with preparing and coordinating ad-hoc reports on compliance developments as required.

## **Policy and Procedure Development**

- Review compliance policies and procedures on a regular basis to ensure they comply with statutory and regulatory requirements.
- Where relevant participate in the development and implementation of other policies and procedures, ensuring regulatory and legislative requirements are met.

## **External Relations**

- Support the Head of Compliance in the development and maintenance of effective and efficient interaction with regulators in relation to UK GIB's regulated subsidiary, ensuring the bank's views are appropriately represented and facilitating the supervisory activity of regulators.

## **Essential experience**

- Detailed knowledge of financial services regulations, as impacting UK GIB Group's business, e.g. know your client, anti-money laundering, sanctions, insider dealing, market abuse, conduct of business and conflicts of interest.
- Knowledge and experience of best practice compliance and governance frameworks, methodologies and emerging practice, compliance monitoring and risk assessments in the context of the UK financial services industry.
- Experience of communicating with regulators and assisting with regulatory enquiries and inspections.
- Degree qualified preferably in law or accounting.

## **Personal Skills (Essential Behaviours)**

- Highly developed communication and influencing skills with ability to build relationships at across the organisation at all levels.

- Broad and pragmatic thinker, capable of quickly interpreting information and presenting arguments in a clear and reasoned way.
- Thorough and accurate, capable of identifying the key issues without getting lost in the detail.
- Processes driven ability to establish and follow new processes.
- Ability to challenge constructively and enforce appropriate boundaries.
- Accountable for own decisions and actions whilst respectful of the professional responsibilities of others.
- Politically astute, self-confident demeanour and mature social skills.