

SENIOR COMPLIANCE OFFICER

JOB IDENTIFICATION	
Job Title:	Senior Compliance Officer
Reports To:	Guernsey Office Managing Partner/ Director of Compliance
Department:	Compliance

THE ROLE

Purpose:

The Compliance team provides an essential service to Appleby by advising the firm and monitoring firm activities to enable it to comply with the relevant laws, codes, regulations and internal policies.

The Compliance team is required to work with the firm to identify and manage its risk exposure by ensuring that the systems and controls which exist are effective and relevant in order to protect the firm from both internal and external risk factors, whilst encouraging a culture of compliance and ethical standards.

The Guernsey based Senior Compliance Officer provides support to the firm by conducting the allocated responsibilities in an accurate and timely manner. Aspects of this role involve completing the duties and responsibilities for the Guernsey office whilst being available to provide additional support to other Appleby offices as necessary. Additionally, as a senior member of the team, the Senior Compliance Officer is responsible for developing and supporting new and less experienced team members around the group by providing guidance, training and coaching.

Principal Duties and Responsibilities

- Appointed MLCO/FCCO for the Guernsey office
- Acting as a point of contact for the Commission and to assist with drafting responses to any requests for information
- Submission of regulatory notifications including the annual Financial Crimes Return and Prescribed Business Return

Acting as a point of contact for the Board ensuring that they are aware of 'the state of compliance' and any issues as they arise. Deliver relevant compliance related training

- Ensure that compliance related policies and procedures are reviewed periodically and kept up to date as legislation and guidance changes
- Ensure that the Business Risk Assessment is reviewed periodically and updated as needed
- Monitoring Business Risk Appetite statement to ensure it is relevant and communicating any findings to the Board for consideration.
- Comply with relevant internal policies and procedures
- Advisory to the firm e.g. telephone calls, email, face to face, for clients, fee earners and other staff.
- Engage with the key stakeholders of the firm to build solid relationships to improve processes, share knowledge and develop a strong compliance culture
- Support regulatory, audit and similar inspections
- Oversight of the monitoring and testing of compliance related policies, procedures, controls and systems in place to assess their appropriateness and effectiveness;
- Oversight of the compliance registers
- Investigating any matters of concern or non-compliance, assist in establishing appropriate controls to mitigate any risks arising from the firm's compliance review policy and to remediate issues where necessary and appropriate in a timely manner
- Vetting and testing of Introduced relationships
- Preparing quarterly management & compliance reports, including the results of the testing undertaken and any issues that need communicating
- Informed of proposed regulatory/legislation changes (consultation papers & similar) and able to communicate regulatory changes including sanctions, country risks, public statements to the firm as relevant
- Firm continuity participant
- Continuous process improvement and sharing best practice
- Identify risks and recommend solutions
- Represent Appleby at local compliance events
- Supporting the Director of Compliance as needed
- Additional ADHOC tasks

Knowledge, Skills and Experience Required

- 5 years or more experience in a regulated environment, preferably in Guernsey
 - Qualified in Compliance or similar and keen to continue with professional development
 - Excellent understanding of customer due diligence, including enhanced due diligence
 - Proficient in client screening tools, Microsoft office and Adex systems, including reporting module
 - Keen interest in the regulatory environment, legislation and current affairs
 - Awareness of sanctions regimes
 - Analytical
 - Attention to detail
 - Commercial awareness
 - Team player
 - Comfortable working alone
 - Good communication skills
 - Planning and organisational skills
 - Good understanding of applicable regulation and codes of practice
 - Results driven, ambitious, resilient
 - Flexible, reliable, committed
 - Self-motivated and keen to succeed
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