

## COMPLIANCE ASSISTANT

JOB IDENTIFICATION	
<b>Job Title:</b>	Compliance Consultant
<b>Reports To:</b>	Assistant Compliance Consultant
<b>Department:</b>	Appleby Regulatory Consulting
<b>Persons to be supervised:</b>	None

## THE ROLE

**Purpose:**

The team of Appleby Regulatory Consulting (ARC), under the direction of the Head of Regulatory Consulting, is responsible for providing regulatory advice and consulting services to its clients, this role forms part of the team delivering the solutions to clients

ARC services clients by providing advice, compliance support, both standard (for client adaptation) and bespoke frameworks and tools to support businesses regulated in any of the jurisdictions in which Appleby operates. In addition, ARC offers support with all aspects of remediation projects. This role is varied, providing the role holder the opportunity to be exposed to and get involved in all aspects of compliance consulting, in a support capacity.

As a member of the ARC team the role holder may be asked to support clients with any or all of the following:

1. **Compliance Support**
  - Interim compliance and onboarding support
  - Data Remediation
  - Preparation for regulatory visits
  - Adhoc requests to support an effective compliance function

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## 2. Monitoring and Assurance

- Support with Compliance Monitoring Programme execution and reporting
- Support with Thematic and targeted Assurance Testing on areas of concern
- Support with Assurance testing of embedding and effectiveness of change
- Support with Compliance Function Effectiveness Assessments
- Support with MLRO/ MLCO Function Effectiveness Assessments
- Drafting initial findings reports for review by more senior members of the team before being issued to clients

## 3. Regulatory Remediation

- Support in the production of Regulatory Compliance Reports
- Remediation programme support
- File Review and CDD/EDD updating
- Policy, procedure and process mapping, design and documenting

As the scope of work within the function can be varied there will be opportunities to get involved in many other aspects of consulting work, as a when these arise.

### Principal Duties and Responsibilities

- Providing support to clients in their remediation projects. Providing support to the delivery team, liaising with clients and delivering reporting on the progress toward target completion dates.
- Delivering tools and solutions under the direction and guidance of management.
- Keeping abreast of international development in the financial services arena and writing summaries and /or impact assessments.
- Undertaking research on specific topics and reporting on findings
- Undertaking gap analysis of laws and regulation against policies and procedures
- Assist in maintaining registers and other information management tools in the support of the compliance function.
- Assists in the preparation of reporting, management information, statistics and similar for both internal purposes and clients.
- Assists with submission of regulatory notifications, data submissions and other regulatory reporting.

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- Assists with the gathering of information and co-ordination of regulatory inspections, and assisting with or undertaking pre-inspections and other thematic reviews as required.
  - Executing compliance monitoring on behalf of clients as required and drafting reports of findings.
  - Engaging with key stakeholders of the firm, including other Appleby offices and with clients to build solid relationships, improve processes, share knowledge and contribute towards a strong compliance culture.
  - Participation in projects identified as appropriate.
  - Attending at compliance events, regulatory updates and similar.
  - Creating and supporting the delivery of Continuous Professional Development (CPD).
  - Perform ad hoc tasks as required.

### **Knowledge, Skills and Experience Required**

#### **Essential**

- A willingness to learn
- Excellent attention to detail
- Self-motivated with an appetite to learn
- Effective communication skills
- Strong problem-solving skills
- Planning and organisational skills
- Strong written and oral communication skills
- Flexible, reliable, committed
- Team player, efficient
- Customer focused
- Analytical
- Assertive
- Strong organisational skills and disciplined approach
- Results driven, ambitious, resilient
- Self-motivated and keen to succeed
- Ability to work well under pressure either as part of a team or as a solo contributor

**Preferred**

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- Some experience of processing client due diligence in a regulated or supervised environment
- Some experience of client screening and monitoring activities
- Able to demonstrate an ability to be able to analyse issues and be able to determine root cause and find solutions

**Qualifications**

- Certificate in compliance or Anti Money Laundering (or the desire to work towards one)
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