

## COMPLIANCE OFFICER

JOB IDENTIFICATION	
<b>Job Title:</b>	Compliance Officer
<b>Reports To:</b>	Head of Compliance
<b>Department:</b>	Compliance
<b>Persons to be supervised:</b>	None

## THE ROLE

**Purpose:**

The Compliance team provides an essential service to Appleby by providing an advisory service to firm personnel and by monitoring firm activities to enable it to comply with the relevant laws, 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 purpose of the Compliance Officer role is to provide support to the MLRO/Head of Compliance and firm by conducting the allocated responsibilities in an accurate and timely manner. The role will involve completing duties for the Isle of Man office, with occasional support for the other Crown Dependencies and the Group as needed.

**Principal Duties and Responsibilities**

- Comply with all relevant internal policies and procedures
- Assist with Customer Due Diligence (CDD) reviews including trigger events and Politically Exposed Persons (PEPs), Sanctions and regulatory notices.

- Undertake client screening and ongoing monitoring to include Conflict Checks, background or equivalent searches
- Review the output generated by the screening and monitoring activities to decipher the information which should be communicated to the fee earners
- Engage with key stakeholders of the firm, including other Appleby offices to build solid relationships, improve processes, share knowledge and develop a compliance culture
- Assist with conducting Internal Monitoring (CMP) of adherence to internal policies
- Continuous process improvement and sharing best practice
- Support with regulatory, audit and similar inspections
- Undertake Continuous Professional Development (CPD)
- Maintain Compliance Registers
- Perform ad hoc tasks as required

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

#### **Essential**

- Knowledge, understanding of the Isle of Man Anti-Money Laundering and countering the financing of terrorism Handbook
- Excellent attention to detail
- Self-motivated with an appetite to learn
- Effective communication skills
- Planning and organisational skills
- Flexible, reliable, committed
- Team player, efficient
- Customer focused
- Analytical
- Assertive

#### **Preferred**

- Previous experience of processing client due diligence in a regulated or supervised environment
-

- 
- Previous experience of client screening and monitoring activities
  - Experience of background searching software, Microsoft Office, Excel and Outlook
  - General interest in the regulatory environment and current affairs
-