



JOB TITLE: Senior Officer (Compliance)

LEVEL/BAND: MM22

DEPARTMENT: Compliance (Regulatory / Financial Crime / Customer Profiling / Monitoring)

DIRECT REPORT: Head of Compliance, through the responsible officials of the respective Units

Overall Purpose of the Position

To research, plan, provide advice on, assist with the execution and monitor the progress of all initiatives being driven by Regulatory Compliance, Financial Crime Compliance and Customer Profiling/Monitoring – as may be appropriate.

To become a key member of the Bank's Compliance Function, providing quality guidance and support to client facing and support functions.

To complete periodical reviews within the frequency set by the regulatory framework – collating all the due diligence related documentary evidence in support of the specific client relationship and ensuring that records are kept up to date.

Operational Responsibilities

- To take an active role in the following tasks as relevant to the specific role:
 1. Updating of department manuals
 2. Review or development of new products and services / marketing and advertising materials.
 3. Executing the Compliance Monitoring Plan and onsite branch and department visits.
 4. Updating of Compliance Registers and internal records
 5. Vetting of clients on boarding application forms and completing extensive checks within the remit of laid down risk based parameters. To retain oversight of the client on-boarding procedure, through direct involvement in the process or by providing guidance to front office colleagues – as may be appropriate.

6. Completing initial and periodical checks intended to ensure that the required levels of CDD procedures have been adhered to.
 7. Supporting internal compliance related training initiatives across departments and units
 8. To actively support (i) the handling of Suspicious Transaction Reports (ii) procedures linked to compliance with Investigation, Attachment and Freezing Orders, requests for Information served by regulatory bodies, the Police Force and competent authorities (iii) Periodical FCC related reports (iv) adherence to National and International Sanctions.
- To continue to develop a sound working knowledge of the local regulatory framework and the applicable EU Directives and Regulations – as may be applicable to the specific role. This will include liaison with the Internal Legal Function and external consultants – as appropriate.

General Responsibilities

- Liaise and maintain excellent working relationships with regulatory bodies, service providers and external consultants on matters linked to Compliance projects, processes and procedures.
- To submit any reports and/or participate in any projects or activities as may be directed from time to time.
- Collaborate with colleagues from different teams within the Function as well as other Units or Divisions within the Bank on matters within the remit of the Compliance Function.
- Actively participate in consultation processes leading to regulatory developments through the review of documents as well as attendance at trade body meetings and seminars.
- Demonstrate an ongoing interest in Continuous Professional Development.
- Champion the ongoing development of a Compliance culture within APS Bank by promoting adherence to policies, guidelines and procedures at all times.
- To perform standard office tasks including processing mail, answering phone calls, ordering supplies and filing.
- To undertake any other duties that may be reasonably assigned from time to time.

Qualifications, Skills & Competencies

	SKILL	EXPERIENCE	QUALIFICATION
MANDATORY	<p>Excellent verbal and written communication skills</p> <p>Accountable, Organised, Meticulous and able to handle tight deadlines</p> <p>Excellent analytical troubleshooting and interpersonal skills</p>	A minimum of two years previous Compliance experience.	
DESIRABLE	Be computer literate with MS products and familiar with conducting research on the Internet.		<p>Compliance and / or Anti-Money Laundering qualification will be considered an asset</p> <p>Demonstrate commitment towards Continuous Professional Development</p>