

Job Description

JOB TITLE	Customer Compliance Reviews Officer
LEVEL/BAND	TC12/14
DEPARTMENT	Compliance
DIRECT REPORT (JOB TITLE)	Customer Compliance Reviews Manager

Overall Purpose of the Position

To become a key member of the Bank's Compliance Function, providing quality guidance and support to client facing and support functions. To actively contribute and monitor the progress of all initiatives being driven within the Unit. To complete periodical reviews within the frequency set by the regulatory framework – collating all the documentary evidence in support of the specific client relationship and ensuring that records are kept up to date. To collect accurate information and self-certification forms of account holders for regulatory reporting for CRS & FATCA. To extract reports or mail merge letters from the Core System and related systems.

Operational Responsibilities

- Supporting the completion of initial and periodical checks intended to ensure that the required levels of CDD/EDD procedures and controls have been adhered to.
- To take an active role in the following tasks as relevant to the specific role:
 1. Participate in ongoing reviews of customers consistent with risk-based parameters determined in the Bank's Anti-Money Laundering Handbook.
 2. Carry out checks on customer transactions against defined key parameters such as regularity of payments, the minimum or maximum amount and identify the business trend.
 3. Assist in compiling data and address issues relating to FATCA/GATCA (CRS) that contribute to the development of the final XML file to be submitted to the Regulators.
 4. Assist in setting up and updating of department manuals.
 5. Supporting internal compliance related training initiatives across departments and units and engage in continuous professional development to remain updated with current issues.

6. Actively participate in the handling of other Compliance issues – as may be agreed to with the respective line manager, from time to time.
- To demonstrate a willingness to continue to develop a sound, on the job working knowledge of the local regulatory framework and the applicable EU Directives and Regulations – as may be applicable to the specific role.

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 support the participation of the Customer Compliance Reviews Team 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 CPU - Customer Compliance Reviews Team.
- Ensuring that adequate record keeping standards are retained in respect of activities undertaken by the Customer Compliance Reviews Team with specific focus on client profile CDD / EDD documentary evidence.
- 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 and emails, organising and filing all customer documents, and ordering office supplies.
- To undertake any other duties that may be reasonably assigned from time to time.

Qualifications, Skills & Competencies

- **Mandatory**

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| Skill | <ul style="list-style-type: none"> • Excellent verbal and written communication skills. • Accountable, Organised, Meticulous and able to handle tight deadlines. • The ability to analyse and interpret information diligently • Be a team player whilst still being able to work independently • Excellent analytical troubleshooting and interpersonal skills |
| Experience | <ul style="list-style-type: none"> • A minimum of one year previous Compliance experience. |
| Qualification | <ul style="list-style-type: none"> • - |

- **Desirable**

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| Skill | <ul style="list-style-type: none"> • Be computer literate with MS products and familiar with conducting research on the Internet. |
| Experience | <ul style="list-style-type: none"> • - |
| Qualification | <ul style="list-style-type: none"> • Compliance and / or Anti-Money Laundering qualification will be considered an asset |

Structure

