

JOB DESCRIPTION

Job title: **Assistant Compliance Officer/Deputy MLRO/MLCO**

Name:

Reports to: **Head of Compliance and Risk**

Date:

Key duties and responsibilities:	<p>General Administration</p> <ul style="list-style-type: none">• Supervision of the opening, stamping and distribution of post.• Logging receipt of incoming faxes/courier items with Receptionist.• Responsibility, in liaison with a Director/ Manager in relation to compliance matters.• Liaising with third parties as necessary regarding compliance matters.• Assist with ensuring that all requests/documentations are completed accurately and in a timely manner, taking action to improve the completeness of compliance data and information.• Manage, supervise, train and develop junior member of staff.• Oversight of work undertaken by junior members of staff.• Motivate, encourage and appraise junior members of staff in order that the overall service provided meets the needs of the department and the business.• To ensure that Compliance procedures are satisfactorily completed to the agreed timescales.• Maintaining records of daily time spent on time billing modules.• Assist with complying with all regulatory and legislative requirements in accordance with the regulatory licenses held by the business, including any codes of practice and regulatory guidance.• Any other compliance related tasks, as may be required from time to time. <p>Client Due Diligence (CDD)</p> <ul style="list-style-type: none">• Review of KYC/CDD documentation, KYC passport checks (World-Check, KYC360, C-6 Intelligence, internet searches etc.,) confirming references – where required, establishing required documentation, and completion of Risk Tracker profiles.• Assist in the creation of compliance review checklists.• Undertake reviews of Client Due Diligence (CDD) and research as required.
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	<ul style="list-style-type: none"> • Completion of World-Check, KYC360 and C6-Intelligence CDD reports. • Compiling and Assessment of CDD under supervision. • Maintenance of Sanctions Register. • Complete CDD Summary and KYC Checklist in relation to new business and maintain summaries throughout the relationship. <p>Compliance Monitoring</p> <ul style="list-style-type: none"> • Monitoring receipts/payments check lists for transactions £10K or over. • Post take on review forms. • Retrospective transaction monitoring in ensuring the correct and timely completion of receipts/payments check lists. • Assisting in the maintenance and conduct of monitoring of programmes for TCB/FSB activity registers • Maintain registers in accordance with Policies and Procedures • Assist in the maintenance and update (under supervision) of spreadsheets and schedules, including but not limited to: New and Lost Business Schedule Periodic Review Schedule KYC Schedule Risk Tracker Questionnaires <p>Business Continuity</p> <ul style="list-style-type: none"> • Maintenance and issue of Business Continuity Plan and manuals. • Arranging the testing of Business Continuity Plan, physical. • Acting as the central point of contact/liaison for staff and services in event of an invocation of the Business Continuity Plan.
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The Job Holder:	<ul style="list-style-type: none"> ▪ May be required to undertake any other reasonable additional duties as required.
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I have received a copy of this Job Description, read it, understood it and agree with it:

Signatures:

Employee:	Manager:
Date:	Date: