



A S Recruiting
Your future is our future

A S Recruiting Ltd
Fernleigh Bray Shop Callington Cornwall PL17 8PZ
Tel — 01579 370 488
Mobile — 07747 022 148
Email — info@asrecruiting.co.uk

Job Description

Title	Compliance & Anti Money Laundering Monitoring Office
Base	Cornwall - Launceston
Reporting To	Client Relationship Manager: Loans
Salary	Up to £25K pa (depending on experience)
Hours	Monday to Friday 37.5 hours per week

Responsibilities

To support the Head of Compliance in providing an effective compliance function within the business.

Key Accountabilities

Compliance:

- Support the Head of Compliance in providing an effective independent Compliance Function and developing a strong compliance culture within the business.
- Assist in the delivery of the compliance plan and compliance monitoring programme.
- Monitoring – undertake compliance monitoring to assess compliance with and adequacy of the policies, procedures and processes in place within the business. Analyse and compile findings into monitoring reports to discuss with the Head of Compliance for further action as necessary.
- Regulatory Risk - assist with the identification, monitoring and mitigation of regulatory risk.
- Support to Business - assist the Head of Compliance in supporting the business on all regulatory and compliance matters including working with operational areas to develop and maintain policies and procedures designed to minimise the risk of legal and regulatory breaches.



A S Recruiting
Your future is our future

A S Recruiting Ltd
Fernleigh, Bray Shop, Callington, Cornwall, PL17 8PZ
Tel — 01579 370 488
Mobile — 07747 022 148
Email — info@asrecruiting.co.uk

- Regulatory Reporting - assist with the submission of all required FCA regulatory returns within the specified timelines.
- Reporting - assist in preparing appropriate reports for the Board in relation to regulatory developments, serious or persistent compliance problems, compliance monitoring and the strength of the firm's compliance arrangements.
- Record-keeping - Ensure that all records under the responsibility of the Compliance Function are kept and maintained in accordance with regulatory, legal and business requirements.

Anti-money laundering:

- Support the Head of Compliance and Money Laundering Reporting Officer in actively managing the process for the identification, assessment, monitoring and management of the risks in relation to financial crime and investigating all suspicious activity.
- Review and approval of new and existing client accounts for AML etc.
- Help ensure the firm's AML controls meet or exceed regulatory standards.

Miscellaneous: Any other duties as required.

Knowledge and skills:

Microsoft office: Word, Excel

Experience in a financial services role e.g. bank, mortgages, broker

Experience in a compliance / AML role desirable

Some knowledge of FCA regulations e.g. Anti-Money Laundering, Treating Customers Fairly, COBS, Financial Promotions

Key Competencies:

Attention to detail,

Self-starter, able to manage own time

Ability to apply judgement

Willingness to learn and consolidate knowledge

Excellent written and verbal communication

Take responsibility to see things through

Polite and respectful yet tenacious

Confidence in interacting with any member of the team

Communication/Interpersonal skills

Personal qualities

We are an equal opportunities employer and positively encourage applications from suitably qualified candidates regardless of gender, race, age, disability.

Please contact Angela Stuart on 01579 370488 or Mobile 07747 022148. Email your cv and details to angela@asrecruiting.co.uk

Ref AS/FF005



A S Recruiting
Your future is our future

A S Recruiting Ltd
Fernleigh, Bray Shop, Callington, Cornwall, PL17 8PZ

Tel — 01579 370 488

Mobile — 07747 022 148

Email — info@asrecruiting.co.uk