

## Wealth Assurance Senior Associate

### About Us

Handelsbanken Wealth & Asset Management is a wholly-owned subsidiary of the Handelsbanken Group and is responsible for all wealth and investment management activities of the Group in the UK. Founded in Sweden, Handelsbanken is one of the world's strongest banks and offers local relationship banking, advice and investment management to personal and corporate customers through its fast-growing network across the UK. For over 30 years we have been relied on by our customers, including business leaders and sophisticated financial professionals, to advise them and to manage their wealth. We focus on one objective – customer satisfaction – since a satisfied customer will be happy to both return and to recommend us.

This is an opportunity to join a successful and fast-growing national organisation with the added benefit of being part of a significant multinational group.

Handelsbanken Group are deeply committed to embedding good equality and diversity practice into all of our activities so that Handelsbanken Wealth & Asset Management is an inclusive, welcoming and inspiring place to work, regardless of age, disability, pregnancy and/or parental status, ethnicity, religion, sex, gender reassignment or sexual orientation.

Handelsbanken is offering a Hybrid Working Model. Our approach to hybrid working at Handelsbanken is that we spend the greater proportion of our working time at our workplace. Our remaining time may be worked from home. This approach allows us to embrace the many benefits of hybrid working whilst sustaining and developing our unique culture.

### What is in it for you?

- We have a wide range of learning and development available, empowering and enabling our colleagues to take ownership of their own development.
- Competitive Salary and an extensive range of benefits is provided, including private medical insurance, income protection and life assurance
- A market-leading pension contribution of 15% paid by the bank, which can be invested in a wide range of funds (including ESG and Shariah funds)

We encourage and welcome applications from across the global community and all appointments are made solely on merit.

### Our Role

The Wealth Assurance Team is the area where many of the basic legal and regulatory concepts are converted into working practices. It is an area that helps formulate how the organisation operates on a day to day basis. This role can be based in either our London, Tunbridge Wells or Manchester office.

In addition to process design, the team also helps to ensure that there are sufficient controls to manage the risks faced by the Wealth Management Team and that working practices are embedded into HWAM through regular monitoring and feedback to both the advisers and support staff. This work is regularly collated and submitted to senior management to illustrate how HWAM is measuring up to FCA regulated standards.

Your work in first line will help push the organisation forward in regulatory and efficiency terms. It is also the prelude to tangible change and improvements.

## Main Responsibilities

- Contribute to an effective Risk & Compliance culture within Handelsbanken Wealth Management, whilst proactively supporting the business as their first line of defence.
- Assist in the implementation the first line monitoring programme including
  - Conducting regular reviews of suitability checking investment, pension and protection advice.
  - Monitoring the effectiveness of controls, procedures and processes within the Wealth Management Team.
  - Liaising with the business to ensure timely completion of actions arising from the monitoring programme.
  - Identifying themes and trends arising from the monitoring programme and escalate these to the Team Lead and Leadership Team as necessary.
  - Producing high quality management information and KPIs arising from the monitoring programme which highlight important issues.
- Assist in establishing and maintaining a first line framework to ensure adequate identification, assessment, communication, control and monitoring of risks within Handelsbanken Wealth Management.
- Assist in the design and establishment of adequate in-house controls and procedures, thereby ensuring operation within regulatory requirements.
- Provide advice, support, training and guidance to Wealth Management Team.
- Assist in formulating solutions for the business, ensure regulatory compliance in a pragmatic, business-friendly manner.
- Work with the second line compliance team and business to implement regulatory change as required.
- Escalate any regulatory risks as required.
- Act as alternate for the Team Lead in attending internal and external committee or leadership meetings.
- Provide guidance and support to projects where relevant.
- Investigate and respond to customer complaints.

## Person Specification

### Values:

- Is business-oriented and focuses on the customer.
- Takes a long-term approach.
- Has the courage to make decisions.
- Is innovative and proactive.
- Takes responsibility for his/her own development.
- Has high ethical and moral standards.
- Likes good administrative order.
- Collaborates with others to achieve joint goals.
- Contributes to the development of operations and colleagues.

### Experience:

- Previous experience required in the financial services industry in a compliance monitoring, client facing role or similar.
- A relevant regulated financial planning qualification (e.g. CII Diploma in Regulated Financial Planning) is preferred but not essential. The preferred candidate will have a desire to become Diploma qualified if they are not currently.

## Contact

Please send your CV and covering letter to [careers.hwam@handelsbanken.co.uk](mailto:careers.hwam@handelsbanken.co.uk)