

## Senior Compliance Associate - Compliance Monitoring

### 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.

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

### Remuneration:

Competitive + Benefits

### Our Role

We are looking for a Senior Compliance Associate- Monitoring Compliance to join our team in London. You will have experience of the regulatory environment, ideally with some exposure to the wealth management sector. You will be a self-starter, deadline focused along with the ability to prioritise your workload as demands change.

### Main Responsibilities

- Assist in the delivery of the annual compliance monitoring programme by undertaking agreed monitoring activities to a high standard and delivering results in a timely manner.
- Work proactively to identify control gaps and weaknesses, determine root cause, and escalate and propose viable solutions to the risks and weaknesses identified, working to mitigate risk.
- With the support of the Senior Compliance Manager, agree action plans with the business as a result of monitoring work and follow up with the business to ensure identified risks are adequately mitigated and closed in line with agreed action plans and for evidencing and recording rationale for closure. Highlight any delivery concerns.
- Provide input into the annual Compliance Risk Assessment Process to inform the annual Compliance Monitoring Programme and actively keep compliance risks under review.
- Make or assist with the delivery of relevant reporting and MI to inform Management of the compliance risks and their status. This includes supporting the Head of Compliance with information for reports to the Audit Risk and Compliance Committee, Management Group, Board and the wider Handelsbanken Group as required.

- Monitor regulatory developments and maintain an up to date knowledge of current issues and future trends and their likely impact on the company's risk profile and activities.
- Assist in training and educating the business on compliance matters of relevance.
- Work with the Compliance Team in the establishment of adequate in-house controls and compliance procedures and contribute to compliance processes by identifying areas for improved adherence to regulatory requirements.
- Ensure departmental logs and the Compliance Monitoring Programme are maintained and up to date and that they are appropriately risk rated in line with process.
- Work independently while establishing solid relationships with the business.
- Champion a positive and effective compliance culture within HWAM, helping the business to manage compliance risks effectively within their respective areas of responsibility.
- Maintain an independent mind-set taking an impartial and objective view of internal practices, whilst maintaining good relationships that permit constructive and valued challenge.
- Develop relationships with the compliance functions in the wider Handelsbanken Group.

## Person Specification

- Ability to communicate technical information in a digestible format.
- Ability to interpret FCA regulation.
- Motivated self-starter.
- Team player.
- Customer outcomes focused.
- High degree of accuracy, integrity & independence.

### Academic:

- CISI IAQ / IOC, Investment Compliance Diploma or other compliance qualification from the International Compliance Association (ICA) would be useful.

### Experience:

- A minimum of 2 years' compliance monitoring experience, where possible this would be gained via a Wealth Management Firm or Retail Financial Advice Firm is preferred.
- Good working knowledge of FCA rules.
- Experience of Suitability of Advice and/or CASS would be beneficial.
- The ability to understand and communicate technical information in a way that is easy for others to understand is essential, as is the ability to interpret FCA regulations and other such communications.
- You will be a self-starter who is not afraid of taking responsibility and who is able to work both independently and in close collaboration with others.
- You will be able to build rapport and strong relationships quickly and be able to maintain and build on those relationships over time, becoming a trusted partner to the business.
- The area of work involves a high degree of accuracy, integrity and independence as well as the ability to work well within a small team environment. We take pride in our customer centric culture of good order and you will share our core values.

## Contact

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