

Compliance Manager- FTC

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 an experienced Compliance Manager to join our team in London.

The main purpose of this role is to work within the HWAM compliance team, taking the lead to enhance our compliance framework across both first and second lines of defence, working closely with the Head of Wealth Management and Wealth Regulatory Support teams.

Main Responsibilities

- Support the Senior Compliance Manager in undertaking the annual Compliance Risk Assessment Process and in formulating the Compliance Monitoring Programme covering the Private Client, Regulated Advice, Tax, Wealth Planning, Protection and Client Support teams
- Undertake compliance monitoring reviews, completing work to a high standard and in a timely manner identifying risks, providing feedback and advice to the relevant risk owners
- Deliver reports and Management Information to the Head of Compliance and / Senior Compliance Manager to inform reporting to all relevant HWAM committees and the wider Handelsbanken Group
- Assist in updating and enhancing the risk-based compliance framework to ensure adequate identification, assessment, communication, control and monitoring of compliance risks

- Provide technical advice, guidance and training on compliance matters of relevance to the Private Client, Regulated Advice, Tax, Wealth Planning, Protection and Client Support teams, obtaining guidance and assistance from the Head of Compliance and MLRO as required
- Assist the Head of Compliance with the Horizon Scanning process by pro-actively identifying and communicating regulatory changes, including FCA non-Handbook guidance, enforcement notices, Dear CEO Letters and other relevant regulatory publications as well as industry best practice and work with risk owners to understand impact
- Ensure that the Private Client, Regulated Advice, Tax, Wealth Planning, Protection and Client Support and Wealth Regulatory Support teams implement effective and compliant policies and procedures, systems and controls, and ensure they meet the required regulatory, risk management and governance standards
- Provide information to third parties when requested, such as to the regulator, government authorities, external and internal auditors, Depository or any other third party service provider
- In association with other business functions, provide advice and guidance to support project work
- Provide training and guidance to the Private Client, Regulated Advice, Tax, Wealth Planning, Protection and Client Support teams and Wealth Regulatory Support as required
- Act as a mentor to the more junior members of the team
- Develop and maintain positive working relationships throughout the business but in particular with the Private Client, Regulated Advice, Tax, Wealth Planning, Protection and Client Support teams and Wealth Regulatory Support
- Champion an effective compliance culture, helping the business to manage compliance risks within their 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

Person Specification

- 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.

Academic:

- Educated to degree level or equivalent preferred
- CISI IAQ / IOC, Investment Compliance Diploma or other compliance qualification from the International Compliance Association (ICA) would be useful

Experience:

- Proven experience of asset management compliance, with strong funds knowledge is essential

Contact

Please send your CV and covering letter to careers.hwam@handelsbanken.co.uk