

Transaction Monitoring & QC Manager

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 recruiting for a Financial Crime Prevention Operations Transaction Monitoring & Quality Control Manager to work within our existing first line of defence team.

This is an experienced SME level role, with responsibility for the oversight of an effective risk-based TM of customer transactions, payment screening and Quality Control testing of Client Onboarding case files.

The role can be based in our Tunbridge Wells, London or Manchester offices.

Main Responsibilities

- Contribute to an effective Risk and Compliance culture within Handelsbanken Wealth Management (HWAM), whilst proactively supporting the business with their first line of defence.
- Assist the Financial Crime Prevention (FCP) Operations team in developing and maintaining a first line framework to ensure adequate identification, assessment, communication, control and monitoring of FCP risks within HWAM.
- Develop, design and implement required controls within TM processes and systems to mitigate and reduce risk.
- Identifying any themes and trends and escalating where appropriate.
- Support with the refinement and optimisation of system configuration to reduce false positives.

- Monitor, review and complete detailed analysis and investigation of transactions referred for possible sanctions, money laundering (ML) & terrorist financing (TF) alerts.
- Design and documenting standard operating procedures and controls for 1st line Payments Screening & transactional analysis on incoming receipts.
- Oversight & maintenance of the HWAM Customer Risk Assessment tool (CRA).
- Investigate and resolve any issues or discrepancies identified during the monitoring process
- Supporting the production of high quality Management Information (MI), Key Performance Indicators (KPIs) and Key Risk Indicators (KRIs) arising from 1st line TM activities.
- Perform regular Quality Control sample testing of Customer Due Diligence case files including EDD to ensure adherence to policy and procedures and all relevant regulatory requirements.
- Collaborate with the second line functions in HWAM and the UK to support the FCP Operations team and broader business to implement regulatory change as required.

Person Specification

- Is business-oriented and focused on the customer
- Takes a long-term approach
- Has the courage to make decisions and question existing procedures
- Is innovative and proactive with a positive mental attitude
- Takes responsibility for his/her own development and actions
- Completes the required annual e-learning in a timely manner and additional learning appropriate to the role and own personal development
- Has high ethical and moral standards
- Maintenance of good administrative order
- The ability to manage workflow and tasks effectively
- Collaborates with others to achieve joint goals towards the business plan with the team, Operations Department and the business
- Contributes to the development of the business and colleagues

Academic:

- University degree preferred, but not essential.
- Financial Crime qualification required, such as the ICA Diploma in Anti-money Laundering/ACAMS and any relevant Operational Risk Certifications.
- **Experience / knowledge / skills:**
- Proven exposure to working in 1st Line Financial Crime Prevention such as AML, KYC, Sanctions, Fraud, CTF, Tax Evasion and the UK regulatory environment.
- Demonstrated hands on detailed experience of Anti-Money Laundering, Sanctions and Payment Screening monitoring Systems and transactional analysis.
- Experience of working within a 1st or 2nd line Financial Crime Prevention role within Wealth Management preferred, but not essential.
- Ability to apply themselves to problem solving and analysing situations, delivering practical and compliant financial crime prevention controls and solutions.
- Strong written and verbal communication skills.
- Ability to interact with stakeholders at all levels both internally and externally.
- Be a self-starter and able to work on individual basis as well as part of a team .
- Ability to work to tight deadlines and often under pressure whilst maintaining a high level of quality and competency

Contact

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