

Compliance Manager – Regulatory and Advisory

About Us

Handelsbanken Wealth & Asset Management is a wholly-owned subsidiary of Handelsbanken plc 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 to and 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 practices 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 Regulatory and Advisory specialist to join our Compliance team in London. This is an exciting role in an evolving team. You will work closely with key stakeholders from across the business and have an opportunity to build your professional network through attending industry events and forums as well as develop your current regulatory knowledge and understanding. You will be a trusted adviser to the business and play a lead role in our response to regulatory change.

Main Responsibilities

- Required to undertake regulatory horizon scanning and for producing regular written and verbal updates to the business on regulatory developments, new regulations and enforcement action of relevance
- Required to analyse and interpret existing and new regulations to support the business to implement regulatory change
- Required to agree actions with the business in response to regulatory change and for overseeing the implementation of these actions to closure
- Required to provide reporting on the status of agreed actions to the Head of Compliance to support the escalation of regulatory risks to the relevant governance committees
- Required to maintain a detailed knowledge of regulatory developments through attendance at industry and trade body events and forums

- Required to provide training and guidance to the wider business on new and existing regulations
- Responsible for providing technical advice and guidance to the business on Financial Promotions and reviewing and approving content
- Required to support the Regulatory and Advisory Team Leader in maintaining and reviewing policies, departmental procedures, logs, guidelines and templates
- Required to work with the Compliance Monitoring Team to ensure the most recent regulatory developments are taken into consideration as part of monitoring reviews
- Required to provide information to third parties when requested, such as to the regulator, government authorities, external and internal auditors, Depositary or any other third-party service provider on request from the Head of Compliance
- Required to develop and maintain positive, collaborative, working relationships throughout the business
- Required to champion an effective compliance culture, helping the business to manage compliance risks within their areas of responsibility
- Required to 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:

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

Experience:

- Proven experience of interpreting and subsequently implementing regulation in a wealth and / or asset management environment.
- Proven experience of proactively engaging with stakeholders, industry bodies or networks during periods of significant new regulation and business change.
- Experienced at creating and delivering clear and concise written and verbal communications on current and upcoming regulatory developments, which can be leveraged across various stakeholder groups and varying situations.
- Proven experience of reporting and MI production to senior stakeholders
- Demonstrable strong understanding and knowledge of regulations applicable to a wealth and / or asset management environment.
- Strong knowledge of ESG and Sustainability an advantage

Contact

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