

# Compliance & AML Officer

UK, London

Permanent, Full-time

As **Compliance & AML Officer** this role will offer you the opportunity to combine your knowledge and experience with your passion for business compliance and policy, being part of the compliance function in the London office. The successful candidate will have a focus on compliance monitoring and anti-money laundering policy and procedures for the business, including interaction with our Jersey and Dubai offices.

Applicants must have strong compliance technical knowledge and proven practical experience, together with a good understanding of the FCA handbook, JMLSG guidance and AML legislation.

## Key Responsibilities and Accountabilities:

- » Ongoing maintenance of policies and procedures for AML & ABC to ensure ongoing regulatory compliance and updating of KYC documentation;
- » Conduct compliance monitoring reviews in accordance with the Compliance Monitoring Plan ("CMP") to test compliance with systems and controls (including policies and procedures);
- » Independent file reviews of the 1<sup>st</sup> line to test processes and procedures for our platform services and pension activities;
- » Act as the primary point of contact for the business in respect of AML queries;
- » Participate in relevant committees;
- » For any Customer Due Diligence (CDD) alerts, review or failures, investigate and provide guidance to the 1<sup>st</sup> line for the acceptance of the customer;
- » Maintenance of the SAR register and all records relating to internal and external SARs;
- » Provision of adequate AML training to relevant employees annually and for new starters including testing understanding;
- » Assist the UK Head of Compliance with maintaining appropriate systems and controls in relation to financial crime;
- » Stay abreast of latest regulatory developments relating to AML and other forms of financial crime contributing to regulatory change and horizon scanning;
- » Provision and maintenance of MI to ensure accuracy and flow of information in relation to AML, ABC and compliance monitoring activity;
- » Identify financial crime risk triggers and carry out investigations;
- » Sanctions and PEP screening and ongoing compliance monitoring;
- » Assist in the provision of regular internal compliance reports;
- » Work on projects under the direction of the Head of UK Compliance.

## Experience, qualifications and attributes sought after:

- » Relevant professional qualifications;
- » Strong technical knowledge of UK financial services regulation, financial crime, including AML, sanctions, high risk customers, fraud and ABC;
- » Excellent organisational skills and attention to detail with a pragmatic approach to problem solving;
- » Good written and oral communication skills;
- » Manage multiple projects/events simultaneously;
- » Prepare and deliver relevant training;
- » Ability to work independently;
- » Ability to provide challenge in a positive and constructive manner;
- » Ability to communicate at senior management level;

## About Praemium:

Established in Australia in 2001, Praemium has grown to be a market-leading provider of investment platforms, investment management, portfolio administration and CRM solutions with offices in London, Coventry, Jersey, Australia, Armenia, Dubai, Shenzhen and Hong Kong.

The world's leading financial advisers, trustees, investment managers, institutions, accountants, family offices` and product providers use Praemium to manage or administer over £63 billion worth of investment globally across more than 475,000 accounts.

## What we offer:

We believe what makes us unique and a very attractive organisation to work for, in addition to the financial reward and benefits, is a combination of:

- » Our organisation and our global scale
- » Our platform, our products, our clients and our leadership
- » The framework and initiatives we've put in place to support your personal growth and continuous learning opportunities
- » The work we do, and we love doing!
- » Our relationship with our peers, the trust and respect we have for each other
- » Our diversity, inclusiveness and the opportunity to bring your whole self to work
- » A competitive salary, 25 days holiday, healthcare, life cover and 9% of your gross salary into your pension scheme

## How to Apply:

To find out more about the role or to apply, please email your CV and a cover letter to [careers@praemium.co.uk](mailto:careers@praemium.co.uk) or [jain.herbertson@praemium.com](mailto:jain.herbertson@praemium.com)

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