

JOB DESCRIPTION

Title	Compliance Officer
Reports to	Head of Compliance and MLRO
Department	Risk and Compliance
Location	Based at the London Office (hybrid working model)

Main purpose of the role

To support Gulf International Bank (UK) Limited ('GIB (UK)') and the London Branch of Gulf International Bank BSC in meeting their compliance responsibilities, ensuing compliance with the Financial Conduct Authority and Prudential Regulation Authority rules, regulations and guidance as applicable to the business.

This role will support the Head of Compliance & MLRO to ensure the firm adheres to all regulatory requirements and internal policies, by conducting regular compliance reviews, monitoring activities and providing recommendations to mitigate risks, whilst ensuring compliance standards are met and maintained.

Key duties and responsibilities

Supporting the Head of Compliance & MLRO with:

- Compliance Monitoring Programme:
- Conduct regular compliance reviews to ensure adherence to regulatory requirements and internal policies.
- Monitor and assess the effectiveness of compliance controls and procedures.
- Identify and report compliance risks and issues and recommend corrective actions.
- Develop and implement compliance monitoring plans and schedules.

Reporting and Governance:

- Providing support for compliance monitoring reporting to the Business Risk Committee, the Board and the Audit and Risk Oversight Committee.
- Assisting with preparing and submitting necessary reports to Group Compliance.
- Assist with overseeing third party providers including risk assessment and SLA monitoring.

Other

- Identify and escalate any significant regulatory issues to the Head of Compliance & MLRO.
- Maintain up to date knowledge of relevant laws, regulations and industry standards.
- Assisting in the development and maintenance of Compliance desktop procedures.
- Strive to act in line with the target culture including values, behaviours and D&I, promoting a strong compliance culture within GIB (UK).
- Read and understand relevant policies and processes.
- Adhere to relevant rules and regulations and Board approved Risk Appetite Statement and agreed limits.

- Speak up, raise breaches and issues.
- Complete mandatory training on time.
- Maintain personal development plans, and leverage industry associations to keep up to date with market best practices and new regulatory requirements.
- Represent Compliance on relevant governance committee(s) as required.
- Undertake ad hoc projects as required.

Culture responsibilities

- Strive to act in line with the target culture including values, behaviours and D&I
- Contribute to sustainability initiatives
- Read and understand relevant risk appetite policies and processes
- Speak up, raise breaches and issues
- Maintain awareness of market best practice and regulatory updates

Experience, skills and knowledge

Professional qualifications required (if applicable)

Ideally educated to degree level

Relevant compliance or investment management certificate or diplomas desirable.

Experience, skills and knowledge required

General experience (around 5 years) in a compliance monitoring role working for a UK regulated investment management firm.

Comprehensive understanding of regulatory and/or compliance matters which impact the investment management sector.

Experience of using ISS Liquid Metrix and Bloomberg Vault an advantage.

SKILLS REQUIRED

Sound knowledge of regulatory requirements and industry standards.

Excellent analytical and problem-solving skills.

Strong attention to detail and organisational skills.

Ability to work independently and as part of a team.

Strong communication skills with the ability to work as part of a small team, strong attention to detail and a willingness to learn and develop skillset.

Ability to build strong and effective working relationships with stakeholders at all levels.

Good initiative and judgement, with the ability to prioritise conflicting deadlines.

Highly proficient with Microsoft Office 365 package

THIS SECTION MUST BE COMPLETED

Certified Person: N/A or MRT/ Significant Harm Function

Level of Authorisation held (ie payment authoriser) Yes Up to £x or N/A

Bank Signatory? Yes or N/A

Level of Responsibility (ie Department Manager) Line Manager or N/A

Name of Employee:

Signature of employee:

Date approved:

Name of Manager:

Signature of Manager:

Date approved: