

# Financial Crime Compliance Assurance Advisor



## Purpose

To support the Head of Financial Crime Compliance in developing and executing TSB's financial compliance assurance programme. Provide review and challenge to 1LOA completed actions and validate that issues and incidents have been adequately addressed and closed. Provide review and challenge on 1LOA owned financial crime risk management models. Undertake reporting to Senior Management on financial crime issues, incidents and the effective closure of these.

## Role dimensions

- **Reports to:** Head of Financial Crime Compliance
- **Division:** Risk
- **Direct Reports:** N/A
- **Financial Authority:** No

## Person specifications

- 3+ years' experience in Financial Crime Compliance, Risk Management or Operational Roles
- 3+years' experience in internal audit or assurance with experience and sound knowledge of the financial crime regulatory framework
- Experience supporting business units to uplift their levels of compliance and risk management practices
- Demonstrated ability to actively keep abreast of changes in external environments and translate into an internal environment.
- CAMS and/or CGSS qualified or the ability to obtain the qualifications within 12 months of commencing the role.

## Role specific areas of responsibility

- Design and implementation of an annual financial crime assurance programme that is informed on risk and encompasses AML/CFT, Sanctions, Anti-Bribery and Corruption, Foreign Tax and Fraud practices within TSB.
- Undertake thematic assurance reviews in line with the financial crime assurance programme.
- Report to Senior Management on the findings of reviews undertaken as part of the financial crime assurance programme and ensure identified issues are recorded within TSB's risk management system
- Validate the adequate closure of material financial crime compliance issues identified to ensure that actions undertaken have sustainably addressed the root cause of the issue
- Support the Head of Financial Crime Compliance in facilitating the 3-yearly independent review of the AML/CFT Programme and Risk Assessment
- Provide 2 LOA oversight on investigations of financial crime related incidents and models owned by the 1 LOA and ensure changes are appropriate, tested and effectively manage TSB's financial crime risk
- Undertake targeted assurance on material change initiatives to ensure the intended outcome has been achieved by 1 LOA and the change complies with TSB's financial crime policies, standards and regulatory obligations.

From time to time there may be additional activity not contained within this position description that the appointee is to complete in the interests of the appointment and their own personal development.

This position description provides a broad overview of responsibilities. The position description is a living document, and the Bank reserves the right to amend from time to time as required.