



<b>JOB DESCRIPTION</b>			
<b>JOB TITLE:</b>	Compliance Manager Wealth	<b>REF NO:</b>	
<b>REPORTS TO: (Job Title)</b>	Head Compliance and Legal	<b>START DATE:</b>	2012
<b>DEPARTMENT:</b>	Compliance and Legal	<b>DIVISION:</b>	Regional Office

<b>1</b>	<b>JOB ROLE</b>
	Responsible for managing core responsibilities within the wealth management compliance function.
<b>2</b>	<b>JOB RESPONSIBILITY</b>
	<ul style="list-style-type: none"><li>Managing core responsibilities within the private wealth management compliance function.</li><li>Trade surveillance, with additional responsibilities to include financial promotion reviews, complaints handling,</li><li>Assisting in the preparation of the regular compliance management information, and undertaking compliance monitoring reviews.</li><li>Provision of compliance awareness to the wealth management business and to facilitate review and implementation of training and competence requirements in line with the FSA regulations within the organisation</li><li>Registrations of controlled functions</li><li>Proactively review the implications and impact of regulatory change, formulating Insight policy, assisting the business with implementation to exploit any commercial opportunities arising.</li><li>Provide Compliance input into a range of projects and business development initiatives.</li></ul>
<b>3</b>	<b>JOB TASKS</b>
<b>4</b>	<b>SKILLS</b>
	<ul style="list-style-type: none"><li>Excellent organisational, communication, and problem solving skills</li><li>Able to converse openly with a broad range of stakeholders</li><li>Ability to work under strict deadline</li></ul>
<b>5</b>	<b>OTHERS</b>