

Role Profile

Role	Compliance Monitoring Officer
Reporting to	Head of Compliance Monitoring
Team	Investec Bank Plc (IBP) Compliance
Division	Compliance
Key relationships	Compliance Advisors, Head of Compliance, Board, Internal Audit, relevant Desk Heads and other Central Services Heads
Regulatory status	Certified Person (CP): <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
If CP, please confirm: (i) The type of certified function(s) performed For guidance see Role Profile – help with defining Certified Persons	Please tick as many as applicable: Material Risk Taker (MRT) <input type="checkbox"/> Client-dealing function <input type="checkbox"/> Function requiring qualification <input type="checkbox"/> Supervisor/manager of a CP <input type="checkbox"/>
(ii) Mandatory professional qualifications and exams (required for the role)	(ii) Mandatory professional qualifications and exams required under the FCA T&C rules or prescribed by IBP (please state N/A if no qualifications/exams are required for this role):
Description of role and key responsibilities	<p>The IBP Compliance Monitoring function maintains a risk-based Compliance Monitoring Plan (CMP) designed to assess the adequacy of the firms measures and procedures put in place in ensuring compliance with applicable regulation and the delivery of fair outcomes to clients.</p> <p>The team is responsible for providing assurance of the compliance environment at IBP (including subsidiaries) to the Head of Compliance and the Board through the execution of the CMP. It does this by undertaking reviews which involves the testing of systems and controls – Issues identified are presented formally in a report detailing the areas of weaknesses. The Compliance Monitoring Officer works with the relevant stakeholder in agreeing the remediation and works with them to ensure issue has been addressed.</p> <p><u>Key Responsibilities</u></p> <ul style="list-style-type: none"> ▪ Delivery of the annual CMP agreed at the Audit Committee through the execution of compliance monitoring reviews in a timely manner. ▪ To identify areas of regulatory control weakness within IBP and overseas subsidiaries and work with the relevant business and compliance advisors to remediate the weakness. ▪ Detailed sample testing to draw conclusion of the control environment.



	<ul style="list-style-type: none"> ▪ Draft and issue report setting out the residual risk rating and any issues identified following the review. ▪ Discuss queries and issues identified during the review with the relevant stakeholders in a timely manner and agree remediation where required. ▪ Work with the wider IBP Compliance Team to ensure the risk based compliance monitoring programme remains reflective of the regulatory and industry wide themes.
Core skills and knowledge	<p><u>Technical Knowledge</u></p> <ul style="list-style-type: none"> ▪ Previous experience working in Compliance or Internal Audit function, preferably gained in a UK bank. (3-5 years). ▪ Good understanding of the UK regulatory framework. ▪ Good understanding of the FCA Handbook. ▪ Good commercial awareness and knowledge of banking products, services, markets, and processes. <p><u>Personal Attributes</u></p> <ul style="list-style-type: none"> ▪ Excellent time management skills. Ensuring agreed deadlines are met and priorities managed. ▪ Multi-tasking and ability to manage a number of reviews or priorities simultaneously. ▪ Ability to work with a high degree of autonomy and initiative. <p><u>Relevant Skills</u></p> <ul style="list-style-type: none"> ▪ Strong oral communication skills – communicating clear and concise findings with relevant stakeholders, often senior personnel including Executives. ▪ Strong written skills – drafting clear document requests, draft findings, and final reports. ▪ Strong negotiation skills – ability to discuss scope of review, interpretation of regulation and conclusion to testing to relevant stakeholders in a clear and reasoned manner. ▪ Excellent record keeping abilities in ensuring decisions are clearly documented and working papers are completed and maintained in a timely manner.
Any other attributes that would be helpful, but not essential for the role.	<ul style="list-style-type: none"> • Inquiring mind and desire to develop and learn for themselves • Strong interpersonal skills when communicating with the business, Executives, and members of Compliance team. • Good time management skills. Ensuring agreed deadlines are met and priorities are managed.