



Job Description

JOB TITLE:	Compliance Analyst
DEPARTMENT:	Compliance
JOB HOLDER:	
REPORTS TO:	Compliance Manager

Purpose of the Job:

To manage the regulatory risk associated with the Brit Group's regulated entities, through the management of its relationship with the regulator(s), promotion of best practice, monitoring and development of procedures, monitoring of regulatory developments and reporting to senior management.

Principal Accountabilities:

- To assist in providing the business with expert Financial Crime prevention and detection knowledge. With a thorough understanding of international sanctions regimes.
- To assist in the development and implementation of Compliance based Exception reports.
- Maintain the suite of exception reports to ensure they remain relevant at all times and capture all business lines.
- Review and resolve exception reports and liaise with the Compliance Manager and stakeholders on any issues identified and produce monthly reporting.
- Where appropriate and in conjunction with the Senior Compliance Analyst assist in developing and articulating remedial action/recommendations on any issues identified to the business
- To assist in the compiling of various compliance reports in relation to compliance monitoring activities.
- To maintain a record of all identified exceptions and the action taken to resolve them.
- To review and communicate, including via Divisional meetings, relevant publications, communications and other regulatory issues to all appropriate staff, including but not limited to Lloyd's bulletins and LMA notices as required.
- To assist in resolution of sanctions related enquiries as presented by underwriters from time to time.
- Assist with the regular monitoring / review of the output of the sanctions screening software to facilitate compliance with application sanctions measures.
- To assist the Head of Compliance in the preparation, development and execution of the Group's annual Compliance Business Plan.
- Assist the Compliance Manager in maintaining a strong compliance culture throughout the Group
- Assist the Compliance Manager in maintaining effective relationships throughout the business, with our offshore team and other stakeholders.
- Assist Senior Compliance Analyst in the development and provision of regulatory training to Group employees, e.g. anti-money laundering, Sanctions
- To carry out general administrative duties as required.

Regulatory Conduct Rules

1. Act with integrity.
2. Act with due skill, care and diligence.
3. Be open and co-operative with Lloyd's, the FCA, the PRA, and other regulators.

4. Pay due regard to the interests of customers and treat them fairly.
5. Observe proper standards of market conduct.

Education, Qualifications, Knowledge, Skills and Experience:

- Education to degree level or equivalent.
- Appropriate industry professional qualification or legal qualification would be desirable.
- Solid experience of working within insurance or financial sector organisation(s), with a strong understanding of PRA, FCA, Lloyd's, legal and compliance issues.
- Thorough knowledge of international sanctions regimes.
- Professional, confident, articulate and personable, with the skills and ability to work both on their own and as part of a team.
- Able to build effective working relationships at all levels both internally and with external regulators and third parties.

As a term of your employment, you may be required to undertake such other duties as may reasonably be required of you in the post and department mentioned above.

Signed by the candidate.....

Name..... Dated.....