

Compliance Officer

Due to expansion of our Compliance team, we have an exciting opportunity available at our office in Amsterdam.

Who are we?

United is an independent provider of finance and trust services with a truly personal approach. We unite disciplines, connect networks and cross borders to bring our clients the services they need and deserve. United serves a wide range of companies, investment industry professionals and wealthy individuals the world over. Our +170 experts work from nine offices in financial hotspots around the globe.

At United we believe that providing financial and legal services is a people business. A business built on trust. That's why we are so committed to finding and hiring the right people. That's why, when we hire those people, we give them our trust. United offers you the perfect environment to grow personally and professionally.

Our team of some 40 dedicated, experienced and multi-lingual staff is based in the heart of Amsterdam's financial district. To be part of this team, first-class expertise in the relevant field is a given. Experience is a bonus. A history of community service is an advantage. Integrity and people skills are paramount.

What does a Compliance Officer do?

The Compliance Officer is part of our day-to-day administrative and operational compliance team and supports the Head of Compliance and the Director Legal & Compliance in the execution of their tasks. As our Compliance Officer you will be responsible for implementing and administering certain aspects of our compliance programme, keeping track of compliance planning, and liaising with the Business Compliance Officer (1st line of defence). You'll report to the Head of Compliance and advise the Director Legal & Compliance on amendments to be made there due to regulatory, legal and other changes. You will also work with other departments to identify and mitigate compliance risks.

Your main responsibilities and duties include:

- Acting as an independent (2nd line of defence) review, track and evaluation expert to ensure that compliance issues or

- concerns within the organisation are being appropriately evaluated, investigated, resolved and properly documented
- Monitoring and checking the timely performance, quality and follow-up the periodical review of the client files (the Client Review cycle) by 1st line of defence and coordinating/consulting on this with the Data & KYC Quality assurance team
- Monitoring and checking the timely performance, quality and follow-up of screenings (Pascal checks) done by the first line of defence
- Monitoring and checking the timely performance and quality of transaction monitoring performed by the 1st line of defence. This includes monitoring and (periodically) checking client transactions and bank statements, and checking if all picked transactions fall in scope of the Transaction Profile. Subsequently, drafting reports on the performed monitors & checks with details of the findings, which also need to be tracked and updated
- Developing, initiating, maintaining and revising procedures, policies, work instructions and templates, jointly with the other compliance team members and in agreement with Director Legal & Compliance
- Developing and overseeing certain aspects of the compliance monitoring programme
- Contributing to the set-up and maintenance of the compliance year plan
- Contributing to the compliance monitoring plan and underlying work programmes
- Executing (test, monitor, report) various compliance monitoring programmes and reporting the results to management
- Identifying potential integrity risk areas and compliance vulnerabilities, performing an integrity risk assessment to determine their likelihood and impact, recommending mitigating measures and monitoring the follow-up
- Coaching/supporting the Data & KYC Quality Assurance team with their 1st-line compliance role in the teams with the monitoring of (large/complex) transactions and identification and mitigation of integrity risks, thereby creating compliance awareness of integrity risks with the 1st line

The Netherlands Compliance Officer

- Liaising with Data & KYC Quality Assurance team and clients on complicated compliance matters
- Conducting due diligence screening of prospective clients, maintaining client acceptance files (CDD) and advising management with respect to the (re)acceptance or termination of client relationships
- Maintaining and updating the database on client (acceptance) files
- Identifying integrity risks and contributing to the SIRA
- Taking responsibility, jointly with the other compliance team members, for timely filings with FIU and DNB
- Keeping track of compliance planning
- Preparing and attending, as a member of the United compliance team, the monthly Compliance Committee Meetings with management and taking minutes of these meetings
- Attending Group Compliance Meetings
- Managing and training junior and new colleagues
- Acting as our liaison manager for the regulator, other governmental bodies and external auditors
- Contributing to and supporting the development of a corporate culture where ethical and compliant values-based behaviour is embraced by all employees
- Contributing to the development of tools that improve internal (integrity) risk assessment
- Contributing to the development and implementation of a compliance awareness curriculum
- Proactively identifying, monitoring and advising on the integrity risks associated with United's integrity risk profile
- Building and maintaining close relationships with the relevant internal and external stakeholders

What we are looking for?

We seek people who are pro-active, inquisitive, open-minded and flexible, with strength of character and the capacity to challenge and influence. To be successful in this position you need to be a go-getter, capable of developing sound mitigation strategies and finding workable solutions. You'll need good judgment skills and a clear affinity with integrity and soft control. We expect you to be data-savvy, with knowledge of Excel, planner tools and digital tooling. Our ideal candidate will have excellent written and verbal communication skills in English (preferably also Dutch) and the ability to clearly explain regulatory compliance and compliance risks to subject matter experts, the 1st line and clients.

We invite you to apply for the Compliance Officer role if you have

- A Master's degree in Dutch law, tax law, business administration or economics
- At least 3 years' experience in a compliance role at a trust office or financial service provider
- Strong knowledge of WTT, Wwft, AML regulations and sanctions law
- Knowledge of compliance and integrity (knowledge of trust services plus related business corporate and tax laws is an advantage)
- Knowledge of/affinity with (large complex) transactions

What can we offer?

You will have the exciting opportunity to work as a Compliance Officer, with the ability to influence the organisation and its daily operations by championing optimisation and automation. You will get the support of a great team who work together on the basis of responsibility and trust. We offer all our employees a competitive remuneration package and unique opportunities to develop personally and professionally.

Interested?

Join us, and be a part of a dynamic and flexible organisation where work is about people, where you can build a broad range of experience and where you are given responsibility and trust. Contact our Human Resources team if you want more information. You can also go right ahead and send them your motivational letter and CV. We guarantee a prompt reply to serious applications.

Human Resources

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