



Senior Compliance Executive - Monitoring

Henley on Thames

To be responsible for compliance monitoring and to provide advice to the business on sound business practice and/or corrective action where departure from regulatory rules and principles has been identified.

Job Description

- Compliance Monitoring. Undertaking compliance monitoring reviews (to include planning, fieldwork and report production) in London, Henley, overseas offices and at third parties as required to ensure company functions are adhering to company policies, procedures and regulatory requirements.
- To supervise/mentor as required less experienced members of the monitoring team.
- To identify and monitor compliance risk areas in the business and to initiate corrective action for avoidance of future breaches.
- To undertake ad hoc work/projects as determined by the Senior Compliance Executive, Head of Monitoring and/or Director of European Compliance, including providing cover for PA Dealing and Pre Trade Investment Restrictions.
- To be proactive in improving and refining the Compliance monitoring function.

Skills Required for role

- An accounting/audit or financial services background, preferably with a minimum of 5 years' exposure to auditing/Compliance monitoring in the industry
- Experience and exposure to operational risk management procedures and processes
- A good understanding of the FSA conduct of business rules
- A good understanding of the technical nature of the business
- Graduate
- A professional qualification is desirable but not essential
- Effective time management skills
- Excellent interpersonal skills
- Highly organised
- Ability to work under pressure
- Excellent team player
- To confidently and competently challenge the status quo/Senior Management where process improvements/new controls have been identified

Your next step?

Email your full CV and covering letter, including salary requirements, to: madhu_vidyarthi@invescoperpetual.co.uk

Or alternatively, post your application to:
Madhu Vidyarthi
HR Department,
Invesco UK Limited
30 Finsbury Square,
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Closing date for applications:

29th April 2011

No agencies please

www.invescoperpetual.co.uk/careers