

# 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 first line teams in the execution of their compliance-related tasks. The Business Compliance Officer works closely with the first line teams, the Compliance Function and the Director Legal and Compliance. He or she is responsible for implementing and administering certain aspects of our compliance programme and advises the Director Legal and Compliance on amendments to be made there due to regulatory, legal and other changes.

The Medior Compliance Officer is responsible for implementing and administering certain aspects of our compliance programme, keeps track of the compliance planning, and liaises with the Business Compliance Officers (1st line of defence). He or she reports to the Compliance Manager and advises the Director Legal and Compliance on amendments to be made there due to regulatory, legal and other changes.

## Focus areas and key responsibilities for this position include:

- Acting as an independent (2nd line of defence) review, check and evaluation expert to ensure that compliance topics, issues or concerns are being appropriately evaluated, investigated, resolved and documented
- Liaising with the compliance team members in order to develop, initiate, maintain and revise procedures, policies, work instructions and templates in agreement with Director Legal and Compliance
- Developing and overseeing certain aspects of the compliance monitoring programme to ensure compliance with relevant laws and regulations
- Helping to set up and maintain the compliance year plan
- 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
- Creating compliance awareness of integrity risks with the first line by liaising with Business Compliance Officers and clients on complicated compliance matters
- Conducting a due diligence screening of prospective and existing clients, maintaining client acceptance files (CDD) and advising management with respect to the (re)acceptance or termination of client relationships
- Monitoring the progress of the periodical CRF cycle, quality of screenings (Pascal checks), and quality of transaction monitoring performed by the first line of defence
- Checking client transactions and bank statements (monthly), and checking whether all picked transactions fall in scope of the Transaction Profile
- Maintaining and updating the database on client (acceptance) files

## The Netherlands Compliance Officer

- Seeing, jointly with the other compliance team members, to timely filings with FIU and DCB
- Keeping track of the 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
- Managing and training of 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 and implementing a compliance awareness curriculum
- Proactively identifying, monitoring and advising on the integrity risks associated with United's integrity risk profile and contributing to the SIRA
- Building and maintaining close relationships with the relevant internal and external stakeholders

### What we are looking for?

We seek people who are proactive, inquisitive, open-minded, conscientious, resilient and flexible, with strength of character and the capacity to challenge and influence. To be successful in this position you need to display good judgment skills and a clear affinity with integrity and soft control, strong communication skills and the ability to clearly explain regulatory compliance and compliance (integrity) risks to subject matter experts, Business Compliance Officers, 1st line of defence employees and clients. Excellent written and verbal communication skills are required in English and strongly preferred in Dutch.

If you have a Master's degree in Dutch law/tax Law/economics/business administration or solid relevant professional experience and/or certification as a Compliance Officer, plus at least three

years' experience in a compliance role at a trust office or a financial service institute, we invite you to apply for the Business Compliance Officer role.

Knowledge of compliance and integrity, trust services, the related business corporate and tax laws, and familiarity with WTT, Wwft, AML-regulations and Sanctions Act are an advantage.

### 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

Tel: +31 (0)20 575 2727 | [hr.nl@uibt.com](mailto:hr.nl@uibt.com)