Anti-Money Laundering Compliance Assistant

Location: Edinburgh
Reporting to: AML Manager

Main Duties

- Ensure the firm's ongoing compliance with Anti-Money Laundering (**AML**) regulations.
- Monitor funds received into the firm's client account.
- Report unusual activity to the firm's MLRO.
- Deal with client and matter management on the firm's practice management system as required.
- Undertake any other reasonable duties as requested by your line manager.

Specific Accountabilities

Anti-Money Laundering:

- Review client due diligence (**CDD**) forms and documentation received from fee earners and ensure that they comply with AML Regulations and the firm's internal policies, controls and procedures.
- Challenge where required the content of CDD forms and directly liaise with fee earners/PAs to obtain a satisfactory response.
- Timeously check in and appropriately respond to CDD forms and documentation received including correspondence and emails received by the AML team.
- Report on clients who do not have appropriate CDD and liaise with fee earners/PAs to ensure this is obtained.
- Provide advice and guidance to the firm's fee earners/PAs in order to assist them in ensuring appropriate CDD is obtained to comply with AML Regulations.
- Undertake verification of identity checks and checks for sanctions, politically exposed persons and adverse news using electronic search products.
- Review incoming funds to the firm's client account and assess whether they are from an acceptable source for AML purposes; liaise with fee earners and Cashroom team members to resolve queries in line with the firm's policies, controls and procedures.
- Prepare and review risk assessments of clients and matters as necessary.
- Assist with the design and implementation of new AML policies, controls and procedures.
- To undertake any other reasonable duties as requested by your line manager.

Person Specification

Essential

- Excellent analytical skills.
- Ability to work under pressure, to strict deadlines, and to exercise initiative.
- Ability to solve problems in a practical and methodical way.
- Excellent customer service attitude and strong attention to detail are essential.
- Excellent written and verbal communication skills.
- Competency in Word, Excel, and Powerpoint.

- Willingness to take responsibility for decisions.

Desirable

- Previous experience of working in a commercial, law, banking or financial environment.
- Experience in a compliance/risk management role.
- Operational experience of AML compliance.
- Experience in using Creditsafe, LexisNexis, GBG, Aderant or *similar*

These duties reflect the situation at January 2021 and may be subject to reasonable change at a later date.

Shepherd and Wedderburn is committed to protecting the privacy and security of your personal information that we collect as a "data controller". The information provided by you will be processed in accordance with our GDPR Privacy Notice for Applicants and Work Experience Students. If you are successful in obtaining paid employment with us, we will hold your information in accordance with our Personnel Data Retention Policy, which will be provided to you at the relevant time.

We will process the information you provide solely for the purpose of evaluating your application for employment. The information will be disclosed to the interview panel (if relevant), your line manager (if appointed), and Human Resources staff members. We may contact any references provided for the purposes of discussing your application, and will ask your permission before doing so.

If you provide any information deemed to be "special category" information under the General Data Protection Regulation, we may use this as follows:

- *We will use information about your disability status to provide appropriate adjustments to the interview process.*

- *We will use any information provided in our diversity monitoring form about your race, colour, nationality, ethnic or national origin, gender identity, gender expression, social mobility background, religious beliefs, sexual orientation, any disability information, age, and marital/civil partnership status to ensure meaningful equal opportunity monitoring and reporting. Any analysis of this data will be done on an anonymous basis.*

Should your application be unsuccessful, the information provided will be deleted within 1 year of a decision not to progress your application.

If you have any further questions about how we process and store your information, or your rights in relation to this, please refer to our GDPR Privacy Notice for Applicants and Work Experience Students (available at www.shepwedd.com/careers/working-with-us/privacy-notice)