

**JOB ROLE FOR THE POSITION OF DEPUTY MLRO (MONEY LAUNDERING & REPORTING OFFICER), WHOLESALE BRANCH, LONDON**

*(Indicative but not limited to)*

- a. Ensuring Compliance with statutory laws and Banking laws of the UK related to Financial Crime Controls;
- b. Ensuring compliance with AML, CFT and other guidelines issued by UK Regulator;
- c. Working in coordination with the MLRO on strengthening AML compliance processes and systems in Bank;
- d. Attending and responding to any queries pertaining to AML/FC department by UK Regulator;
- e. Review of Accounts and transactions on a sample basis for identifying suspected transactions;
- f. Investigating any suspicion raised for a suspicious transaction, in consultation with MLRO and preparing STR reports & submission on UK REGULATOR online portal;
- g. Issuing circulars and disseminating information to departments w.r.t regulatory guidelines, updates, letters and internal policies and procedures;
- h. Maintenance, update and renewal of KYC AML Policy;
- i. Preparing and maintaining records of training of AML Department;
- j. Maintaining relevant files and documents of UK REGULATOR Audit and any other external review carried out for the AML department;
- k. Ensuring FATCA/CRS Compliance as per UK REGULATOR guidelines w.r.t submission of FATCA/CRS returns and other regulatory requirements;
- l. Maintenance of Acuity screening tool correspondence, renewal, users and licenses details;
- m. Imparting training to Bank staff on KYC, AML and Financial Crime;
- n. Preparing reports and presentations for training sessions imparted by the AML department;
- o. Guiding Offices/departments in London Wholesale Branch for all KYC/AML-related queries & FATCA/CRS;
- p. Responding to questionnaires on AML from other banks in a time-bound manner;
- q. Other AML-related tasks referred to the officer/department;
- r. To help MLRO in granting permission for opening high-risk and PEP accounts;
- s. To inspect London Wholesale Branch as per instruction of MLRO and to check their status of record-keeping of documentation;

- t. Help MLRO in renew of high-risk and PEP accounts;
- u. Carrying out online verification of account using Call ML/ Dow Jones/ Google Search;
- v. Any other task assigned by MLRO relating to AML/KYC/FATCA;
- w. Co-ordinate with the MLRO in remediation programs (such as S-166, and other related programs);
- x. Support and co-ordinate management focus on the money laundering risk in individual business areas;
- y. Assist MLRO in developing and maintaining an effective anti-money laundering and counter-terrorist financing compliance culture;
- z. Develop internal procedures in line with the requirements of the legislation and the relevant industry guidance;
- aa. Ensure Transactional Monitoring and all internal suspicious activity reports received are investigated without delay;
- bb. Ensure that a SAR is submitted to the relevant law enforcement agency in respect of all suspicions that have substance;
- cc. Undertaking new business reviews – including high-risk accounts and PEP approvals and also support FATCA/CRS reporting;
- dd. Ensure that all staff comply with the stated policy and monitor operations and development of the policy to that effect;
- ee. Regularly review the effectiveness of money laundering compliance policies and procedures to prevent money laundering and counter the financing of terrorism.

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