



# KNOX HOUSE TRUST

## **KNOX HOUSE TRUST LIMITED (“KHT”) – ROLE PROFILE & CORE OBJECTIVES**

**ROLE TITLE: COMPLIANCE MANAGER / MLRO / DPO**

**REPORTING LINE: OPERATIONS DIRECTOR / KHT BOARD**

Identification of potential areas of compliance vulnerability and risk, with a view to advising the Board/wider business vis resolution of same;

Maintaining and revising existing AML, Risk and Compliance policies, monitoring programmes, procedures and registers;

Interpretation of local/foreign regulations in order to fully develop and maintain FATCA/CRS procedures, processes and reporting systems;

Ensure the timely and appropriate reporting of any risk, anti-money laundering, fraud, illegal or other matters in line with the appropriate legislation;

Assume role of Data Protection Officer ensuring all GDPR legislation is adhered to;

Provide overall 'front line' support and mentoring, training and guidance to the compliance team members and the wider KHT team on all daily compliance related matters;

Ensure the KHT team are fully up to date and informed of all changes to all relevant legislation and regulations;

Ensure the appropriate take-on of new business within KHT and the on-going monitoring of the same in accordance with KHT's accepted and adopted guidelines and policies;

Maintain and deliver a risk assessment, on-going profiling, file review and monitoring programme of all structures and entities under the management and control of KHT;

Assisting the KHT board in developing and maintaining a "can do" culture in which all KHT staff are commercially aware and meet efficiency targets;

In accordance with the requirements of Rule 8.25, of the Financial Services Rule Book, oversee KHT's proper conduct and ensure that all business is effectively controlled on a day to day basis:

Adhere to all KHT Policies, Procedures and Guidance and, where appropriate, promptly report all issues and breaches to Line Manager and/or Risk/Compliance/KHT Board;

Provide regular reports to the KHT Board and make independent and unbiased recommendations in respect of all relevant matters;

Complete any ad-hoc projects delegated within given timescales;

Assist the wider KHT team as and when requested;

At all times act in accordance with the Financial Services Rule Book and other relevant regulations including, but not limited to AML/CFT/ABC and Data Protection; and

Adhere to the KHT Staff Handbook at all times.