

# ROLE PROFILE –Anti-Money Laundering Investigation Officer

## Anti-Money Laundering Investigations Team



### Role Purpose:

Responsible for managing a portfolio of anti-money laundering investigations of differing complexities, within a specialist team, through investigating reports about money laundering regulation breaches, associated misconduct and regulatory breaches to achieve appropriate and timely outcomes.

### Outcomes:

- Carry out desk based investigations to investigate misconduct and regulatory concerns.
- Analyse information to identify risks and regulatory rule breaches.
- Develop and implement plans for investigation of reports of misconduct and regulatory breaches.
- Collate and analyse complex and technical information to take fair, proportionate case decisions using sound judgment based on the SRA's Enforcement Strategy.
- Attend site visits and witness interviews where appropriate.
- Write reports and documentation to the highest standards of quality, which are evidence based and demonstrate sound analysis, able to stand up to scrutiny of SRA Adjudicators, the Solicitors Disciplinary Tribunal and higher Courts.
- Work collaboratively across the SRA to ensure a joined-up approach to regulation and decision making.
- Establish credibility with firms, internal and external stakeholders.

### Knowledge, Skills & Experience:

#### Essential

- Experience of successfully leading and investigating complex and multiple issue cases;
- Experience of working within the AML or compliance forum;
- Excellent oral and written communication skills, inclusive of drafting complex documents to a high standard;
- Ability to digest and analyse large volumes of information;
- Excellent work management skills and adaptable to changing priorities at short notice;
- Experience of working well under direction and autonomously and collaborating as part of a functional or cross functional team.
- Experience of influencing and constructively challenging internal and external stakeholders.
- Willingness to learn and develop, taking on new responsibilities and adopting a flexible, pragmatic approach to work.
- Ability to understand and provide high levels of customer service
- Ability to contribute to the continuous improvement of investigation knowledge and processes, specifically in relation to matters with a wholly or significant AML issue.

#### Desirable

- Strong knowledge of the regulatory framework or relevant statutory ML Regulations;
- Ability to apply a consistent approach to investigations, specifically focused on obtaining evidence, application of controls and issuing sanctions.

**This role profile is aligned to the internal SRA career framework.**

The career framework profile outlines the generic requirements which are common to all roles within this strand/level. The role profile outlines supplementary role specific requirements.