

# Compliance Team Leader

*Business Acceptance (Risk and Compliance) – London*

## *The opportunity*

An opportunity has arisen to join our Business Acceptance team as a Compliance Team Leader being involved in conflicts, anti-money laundering (AML), sanctions and supervision of a sub team. Intapp is the firm's system for registering new clients and matters, including conflict checks, AML and sanctions compliance. Accordingly, this recruitment is likely to provide the candidate with opportunities to learn and become proficient in areas beyond their current area of expertise. Training will be provided.

## *The firm*

Bird & Bird opens up a world of possible for lawyers and professionals everywhere. Working for a leading international law firm like Bird & Bird means working alongside people who are truly collegiate in the way they work with everyone. We work as one global team, with over 70% of work involving people from across the firm. And that's only increasing! It's this common purpose and shared approach that makes for a more productive and collaborative place to work. Your firm. Your future.

## *The team*

The global Business Acceptance team has 45+ members, comprising of Compliance Assistants, Junior Compliance Officers, Compliance Officers, Senior Compliance Offers, Compliance Team Leaders, Compliance Managers and Head of Business Acceptance. The central team are based in the London office, alongside a remote UK team and an Asia team in Hong Kong. The Business Acceptance team are responsible for client and matter inception. The team deal with all aspects surrounding matter opening including conflict checks on all new instructions and AML checks comprising of due diligence and sanctions compliance. The team works alongside Risk under the leadership of General Counsel.

Bird & Bird is committed to providing a consistently high level of service for the firm and its partners and staff in relation to all risk and compliance issues. The firm's strategy is to position itself as a One Firm culture. We are looking for candidates with a keen interest in risk and compliance, taking a pragmatic and commercial approach, who are looking to develop their skills further.

## *Our promise*

Bird & Bird is committed to maintaining an inclusive working environment and we are an equal opportunities employer. We will actively support and supervise your professional development. For those with the necessary energy and ability, we will ensure that the firm is a first-class platform on which you can develop into an industry leader. We support an agile working environment and are happy to discuss flexible working.



## What you'll do

### Team Leader

- Leading and supervising a sub-team which may comprise of Compliance Assistants, Junior Compliance Officers, Compliance Officers and Senior Compliance Officers, by managing holiday approvals, monitoring sick leave and holding fortnightly one to one catch ups.
- Working with the Compliance Manager and Senior Compliance Officers, to provide comprehensive, structured training to new joiners into the Business Acceptance, tailoring the training to the individual's needs when required.
- Providing continual support to the team through training on systems, conflicts, AML and sanctions processes.
- Review of work for team members on conflicts and AML.
- Prepare for Appraisals and Probations, attending meetings with Compliance Manager.
- Liaise and deal with HR issues with support from Compliance Manager, working closely with HR team.
- Escalate any issues that arise from the reporting line to Compliance Manager.
- Formulates solutions to problems when escalated to the Compliance Manager or Head of Business Acceptance regarding processes and procedures.
- Second point of escalation before the Manager and Head of Business Acceptance for queries.
- Coaches and mentors team members ensuring support is provided on queries and escalations.
- Encourages responsibility for teamwork ensuring team members are working effectively together.
- Manage Intapp workstreams, work allocation, delegation of work ensuring SLAs are met.
- Provides constructive feedback and suggestions to the Compliance Manager when resolving backlogs in different work streams.
- Attends weekly meetings with the Compliance Manager to discuss work allocation, projects, escalations and other issues raised by the team that should be brought to the attention of the Manager and Head of Business Acceptance.



### Compliance

- Maintain knowledge of the firm's relevant processes, policies and procedures and industry standards.
- Advise secretaries, fee earners and partners on best practice in relation to client matter inception procedures.
- Handle administrative queries linked to the client and matter opening process through the helpline and email.
- Provide face-to-face training on firm's relevant policies and procedures to new joiners.
- Occasionally required to work with Accounts, Cashiers, Marketing and Business Development, Financial Systems and IT departments.
- Carry out ad hoc tasks and projects which may arise within the team to implement and develop risk led initiatives.
- Contribute positively to the progression of the team by supporting improvements to systems and procedures.

### Conflicts

- Review new client and matter forms to ensure complete details are provided and query instances where the information is unclear or incomplete.





- Conduct conflict searches using the firm's conflict database.
- Analyse conflict search results and manage conflict resolution.
- Liaise directly with Partners and Fee Earners on identified potential legal or commercial conflicts, obtaining when necessary relevant information on the matters, in order to make a decision on whether a conflict or potential conflict is present.
- Manages higher risk conflict queries and escalations which includes recommending courses of action and pushing issues to resolution where possible.
- Escalate legal or commercial conflicts to the Compliance Manager, Head of Business Acceptance or Risk Lawyers.
- Record conflict clearances and any communication with stake holders centrally against the matter for the purposes of compliance and audit.
- Maintain and update the firm's conflict database as key information becomes available on existing matters.
- Suggest process improvements to conflicts procedures and supporting software.
- Responsible for maintaining the firm's sensitive data in the confidential database (Black Book).
- Assist in the research and implementation of information barriers by working with the Risk Lawyers as matters are created, whilst protecting confidentiality at all times.

## AML

- Undertaking AML checks to satisfy Know Your Customer requirements using data provider software and other online sources, including analysing and establish the corporate structure of the client where relevant and identify the beneficial ownership.
- Manages higher risk AML queries which includes recommending courses of action and seeking a resolution where possible.
- Dealing with AML escalations through the internal AML escalation routes.
- Guide Partners and Fee Earners on the required documents in instances when information is not publicly available or provided by online subscriptions.
- Attribute a risk rating to the client and escalate to the Compliance Manager or Head of Business Acceptance where a decision needs to be made regarding documentation, profile of client and risk.
- Escalate high risk issues to the (Deputy) Money Laundering Reporting Officer to assist with managing the firm's anti-money laundering compliance risks
- Undertake ongoing AML/Sanctions monitoring of high risk clients.
- Perform on-going monitoring of existing clients and update client due diligence documents when required.
- Record the decisions and steps that have been taken to on-board the client, with a summary of the risk assessment.

## About you

### General

- Excellent communicator
- Good team fit and team player.
- Attention to detail – ability to spot inadequate or inaccurate information and approach internal clients confidently and diplomatically for further documentation/clarification on matters.
- Ability and enthusiasm to handle complex workflow by prioritising work effectively and identifying level of detail needed for each task.
- Excellent command of written/spoken English, and the ability to tailor style as appropriate whilst maintaining a professional manner at all times. Ability to communicate with non-native English speakers is essential.







- Willingness to learn and develop as the role itself develops. A self-starter who shows readiness to ask questions and verify information.
- Conscientious and methodical approach and the ability to analyse.
- Good organisational skills and the ability to work methodically and accurately.
- Excellent persuasion and reasoning skills, and the ability to recognise when to escalate an issue and to whom.
- Good appreciation of how office systems and processes relate to each other.
- Enthusiastic to upskill the team and progress the needs of the Business Acceptance team generally.
- Desire to learn, share existing knowledge and build skills.
- Essential applications experience: Word, Outlook and document management. Intapp, preferred but not essential.

## Risk & Compliance

- Knowledge of SRA rules including conflicts of interest.
- Experience of identifying and dealing with issues relating to AML/sanctions, high risk matters and complex ownership structures.
- Experience of identifying and dealing with issues relating to complex conflicts of interest matters.
- Ability to explain Business Acceptance procedures and systems effectively and support end users of those systems.

## Qualifications and Experience

- 5 years+ experience working within a law firm Risk and Compliance function with working knowledge in conflicts, AML and sanctions.
- Experience in dealing with team supervision.
- Experience of Intapp (preferred but not essential).

*The main responsibilities of this role are outlined above; however, this description is not exhaustive, and the job holder may be required to undertake additional duties from time to time to ensure the smooth running of the department. The role may require some working outside our normal working hours of 9:30am- 5:30pm.*

*Bird & Bird is committed to creating and sustaining a diverse and inclusive environment. We are delighted to confirm that we have recently achieved Mansfield Certification, following our successful participation in the UK pilot programme. This certification was achieved by considering at least 30% women, lawyers from underrepresented racial/ethnic groups, lawyers with disabilities and LGBTQ+ lawyers for at least 70% of UK fee earner and leadership positions. We are participating in Mansfield Rule UK 2.0 and continue to work towards ensuring a diverse pool of candidates are considered our roles, in line with the Mansfield Rule. You can read more about this [here](#).*



In the event that we make an offer to you and you accept, we will conduct pre-engagement background checks, where permitted by local legislation and according to the nature of the role that may include right to work, professional and academic qualifications, criminal records, sanctions, financial stability, media, directorships and references from previous employers.

Please click below to view more detail in our Applicant Privacy Notice.

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