



# Jersey Financial Services Commission

<b>Role:</b>	Manager, Enforcement
<b>Reports to:</b>	Head of Enforcement Unit
<b>Grade:</b>	5/6 (£35,000 - £70,413)
<b>Hours:</b>	37 Hours
<b>Purpose of the role:</b>	To investigate matters of regulatory misconduct. Protect and enhance the reputation of Jersey as a safe and well-regulated international finance centre.

## Key Deliverables & Accountabilities:

### Case Management – To participate in all aspects of an investigation, to include:

- › Collating and evaluating evidence (where necessary in accordance with the Commission's statutory powers) ensuring proper handling and continuity of evidence.
- › Analysing financial statements.
- › Assisting in, or leading, meetings when engaging with witnesses and where relevant preparing witness statements.
- › Assisting in, or leading, interviews with persons suspected of regulatory misconduct then arranging and reviewing transcripts.
- › Liaising closely with other Commission Divisions in a timely manner to ensure full co-operation and sharing of relevant information.
- › Ensuring proper co-operation and exchange of information with international regulators with regard to enforcement enquiries/investigations and disciplinary investigations, in accordance with statutory restrictions on the use and disclosure of information.
- › Preparing fair and balanced investigation memoranda and reports, to go before the Executive or the Board of Commissioners in a timely and efficient manner.
- › Attending before the Executive or the Board of Commissioners with a view to providing relevant input on the content of a case.
- › Assisting Senior Divisional Officers, or taking the lead in Without Prejudice Settlement Discussions.
- › Ensuring the highest possible security for all confidential/restricted information and intelligence received.
- › Managing the archiving of documents to ensure that Enforcement is capable of discharging its legal responsibilities under the FOI(J)L and DP(J)L.
- › Assisting the Director/Head of Unit of the Division in liaising, on an ongoing basis, with the Police and Attorney General's Office (for example at Tripartite meetings), on matters relating to a case which may have aspects of criminality involved.
- › Attending Court and giving evidence where required.

**Co-Operation (General):**

- › Foster/promote cross divisional co-operation with other Commission divisions ensuring exchange of information/intelligence is done in a timely and effective manner.
- › Assist the Enforcement Division to establish and maintain both local and international contacts at the same time ensuring proper co-operation and exchange of information with regard to enforcement related matters is carried out in accordance with statutory restrictions on the use and disclosure of information.
- › Participation on working groups acting in the best interests of the Commission.

**Legislation Development:**

- › Support the Director of Enforcement to identify, research and develop enforcement related policies, procedures and legislation.

**Promoting the Commission:**

- › Undertake appropriate public speaking engagements to provide relevant feedback to the industry or other relevant stakeholders (such as national or international regulators) and promote the work of the Commission.
- › Participate in the training and education of other members of the Commission (for example new starters in the Induction Programme).

**Performance Management and Coaching:**

- › Making a positive contribution to the ongoing development of the Commission and in particular contributing to the success of change initiatives.
- › Assist in other work as directed

**Critical Competencies: behaviours and abilities required for the role:**

- › Achieving Excellence (Intermediate)
- › Communicating Effectively (Intermediate)
- › Demonstrates Expertise (Advanced)
- › Planning and Organising (Intermediate)
- › Initiative & Creativity (Intermediate)
- › Judgement & Decision Making (Intermediate)

**Knowledge and Experience:**

- › Relevant accountancy qualification is essential.
- › Practical experience of the financial services industry and a good understanding of the various financial services products offered in Jersey is desirable.
- › It is desirable the role holder will have had an understanding and experience of investigatory processes.
- › Knowledge of the legislation administered by the Commission is desirable but not essential.

**Other Significant Role Requirements:**

- › Ability to work well in a team environment.
- › Strong interpersonal skills.
- › Good planning and organising skills.
- › Good written and oral communication skills.