



BSA and Compliance Manager

Reports To:	AVP of Compliance, BSA Officer
Classification:	Exempt
Pay Grade:	13
Pay Range:	\$82,786.52 (min.) - \$103,483.15 (mid.) - \$124,179.78 (max)
Location:	Glendora, CA

Purpose:

Under minimal supervision, the BSA and Compliance Manager is responsible for ensuring the policies and procedures of the Credit Union comply with the appropriate laws and regulations. As directed by the BSA Officer, analyzes new and pending laws that could directly affect the Credit Union's current practices. Assist in the development and revision of current policies and procedures to ensure compliance when needed. The successful candidate will have knowledge of banking compliance regulations, such as the Bank Secrecy Act (BSA) and Anti-Money Laundering (AML) regulations, and excellent communication skills.

Major Duties and Responsibilities:

- Conducts CDD, EDD, and other relevant KYC functions as needed.
- Fulfills legal requests for information that are directed to the credit union, including (but not limited to) subpoena requests and regulatory member complaints.
- Review the information involved in such requests to determine if a BSA/AML review is required.
- Submits findings related to those requests to the BSA Officer for final review and approval.
- Assists with and leads efforts of quality assurance measures on work produced by the credit union's BSA staff.
- Acts as the BSA Officer's appointed designee on matters deemed appropriate to their role.
- Creates standardized operating procedures when needed, and ensures procedures are detailed and comprehensive.
- Maintains up-to-date knowledge of banking compliance regulations, such as the Bank Secrecy Act (BSA) and Anti-Money Laundering (AML) regulations.
- Provides weekly regulatory updates to the BSA department.
- Manages the Credit Union's 311 oversight.
- Works with Vendors and other lines of business to ensure that Compliance matters are reported to the BSA Officer.
- Establishes and maintains strong relationships with internal teams and external stakeholders.
- Assists with the investigations of any compliance-related issues as needed.
- Prepares reports and presentations related to compliance activities.
- Provides guidance and advice to staff on matters related to compliance when needed.
- Identifies any areas of non-compliance and provides recommendations for improvement to the BSA Officer.
- Ensures proper reporting of violations or potential violations to duly authorized enforcement agencies as appropriate and/or required.
- Maintains records and documentation of compliance activities, complaints, investigations, and outcomes. Analyzes, prepares, and files appropriate reports with regulatory agencies.

- Participates in various committees, audits, and examinations under the direction of the BSA Officer, or their superior(s).
- Responsible for organizing and supporting any look-back efforts related to BSA.
- Acts as the departments subject matter expert on AML reviews, and properly provides guidance to BSA Specialists as needed.
- Performs other job-related duties as assigned.

Expectations:

- Communicates with members and staff professionally and articulately in both verbal and written forms.
- Maintains a comprehensive understanding of the features and benefits of all Credit Union products and services in order to offer the most appropriate products to members.
- Maintains up-to-date knowledge of the policies, procedures, rules, and regulations that govern the Credit Union operations.
- Ensures compliance with all Credit Union member service standards.
- Performs all member-related functions and activities in accordance with superior member service.
- Exercise sound business judgment.
- Can de-escalate potential workplace conflicts by exercising empathy and active listening skills, while maintaining a professional and composed attitude.
- Adhere to the principles and requirements of all applicable laws and regulations relating to your position and your ACCU employment, including but not limited to the Bank Secrecy Act (BSA), the anti-terrorism procedures of the Office of Foreign Asset Control (OFAC), and the Anti-Money Laundering (AML) provisions of the USA Patriot Act.

Essential Functions:

- Ability to perform duties as outlined under “Major Duties and Responsibilities.”
- Ability to communicate clearly and to be understood.
- Ability to deal with sensitive and confidential information.

Qualifications and Educational Requirements:

- A minimum of *10 years’ experience with BSA compliance responsibilities for a financial institution, including demonstrated leadership strongly desired.
- looking for an individual who is passionate about making sure that the company is acting by all applicable regulations.
- Strong analytical, problem solving and organizational skills.
- Ability to identify gaps and/or risk exposure in credit union controls.
- Ability to multi-task and meet deadlines.
- Ability to present information or solutions clearly and concisely.
- Strong written and verbal communication skills
- Ability to maintain confidentiality.
- Proficient computer knowledge, with experience in Microsoft Word and Excel

Disclaimer:

The above statements are intended to describe the general nature and level of work being performed by people assigned to this classification. They are not to be construed as an exhaustive list of responsibilities, duties, and skills required of personnel classification. All personnel may be required to perform duties outside of their normal responsibilities from time to time, as needed.

ADA Compliance Statement:

In compliance with the Americans with Disabilities Act (ADA), ACCU stands ready to accommodate any qualified employee with a disability who can perform the essential duties of their position, as long as necessary accommodations for that employee’s disability don’t cause an undue burden to the credit union.

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