



WEBCO HR, Inc.

Let Experience be Your Guide

COMPLIANCE RISK OFFICER – PASADENA, CALIFORNIA

WEBCO HR, Inc. is seeking a Compliance Risk Officer for one of our clients located in Pasadena, California.

SUMMARY:

The Compliance Risk Officer is responsible for the development and management of the compliance risk assessment framework and issues tracking system as part of the overall Compliance Management System. The Compliance Risk Officer serves as a leader to compliance staff and as a trusted advisor to the business in order to achieve continuous improvement of the Compliance Management System. Achievement is measured by audit/examination results and by the successful performance of assigned duties. The Compliance Risk Officer may also manage the programs and employees of other key compliance areas such as policies/procedures development and regulatory change management.

Senior level direct experience in the Compliance/Risk Management field and related business experience in the financial services field is required.

RESPONSIBILITIES:

- Lead and manage the enterprise-wide Compliance Risk Assessment Program function, including the analysis of current and potential risks, identification of mitigation strategies to reduce or eliminate risk, assess/challenge controls, and preparation of management reporting.
- Lead and manage the enterprise-wide Compliance Action Tracking System (CATS) to ensure that relevant compliance issues are catalogued from issue identification through validation.
- Direct corrective action taken by management to address compliance-related deficiencies, including assisting management with performance of root cause analysis, implementation of corrective action when necessary and conducting follow-up reviews to determine the adequacy and effectiveness of action taken. Escalate findings as needed and maintain all documentation of issue management from identification through resolution.
- Directly manage the compliance professionals who are responsible for the daily execution of the Compliance Risk Assessment Program, including the testing and validation of controls.
- Assist in the development compliance risk management policies and procedures.
- Performance and documentation of marketing reviews.
- Serve as a subject matter expert to the lines of business. Ensure business units are sufficiently familiar with and are using adequate recordkeeping and reporting systems to measure and monitor the Bank's significant compliance-related activities.
- Maintains a current understanding of Bank policies and procedures in compliance with all federal and state laws, including but not limited to Bank Secrecy Act (SARs, CIP, OFAC), Information Security (GLBA), Identity Theft Red Flags, Financial Elder Abuse Reporting, and any other applicable regulations that may be specific to your job duties.

- Provide regular reports to the Compliance Risk Management Committee, Enterprise Risk Committee and/or the Audit Risk Committee of the Board.
- Research compliance related issues. Review credit and deposit policies/procedures, operations processes, product pricing, product marketing models, new and modified products, marketing campaigns, business changes, and services performed by third party vendors. Provide interpretations and clarifications of consumer protection laws, rules and guidance to Bank personnel, in conjunction with Legal Counsel or others.
- Assist with the monitoring and implementation of new regulations or changes to existing regulations. Revise compliance-related policies and department procedures to align with regulatory changes. Lead business units to ensure effective change implementation, as needed.
- Assist the Chief Compliance Officer with preparation for consumer compliance regulatory examinations conducted by FDIC/DBO examiners.
- Gain compliance cooperation through enhancement of business partnerships across the enterprise.
- Educate applicable personnel, employees, officers, and directors concerning compliance with laws, rules and regulations.
- Participates in various business committees to provide compliance direction and advisory services.
- Performs other ad hoc duties, as assigned.

REQUIREMENTS:

- Undergraduate degree or commensurate successful business experience in a compliance/risk management function.
- Certified Regulatory Compliance Manager (CRCM) designation preferred.
- Extensive knowledge of consumer protection laws and bank deposit/lending regulations
- 10+ years increasingly responsible leadership and management positions in compliance and/or risk management in a financial institution preferred.
- Demonstrated ability to manage multiple demands and priorities.
- Analytical and critical thinking skills.
- Ability to work independently.
- Testing, audit or investigation experience desirable.
- Proven track record of success demonstrating leadership and management skills in compliance or risk management.
- Excellent verbal and written communication skills, including presentation skills.
- Strong interpersonal skills/ability to develop relationships with the lines of business and stakeholders.

COMPENSATION:

- Base Salary
- Full Benefits

THE COMPANY:

Our client provides a unique brand of Service With Solutions® offering a breadth of personal, small business and commercial banking services to communities throughout California. Established in 1975 and with assets of more than \$10 billion, the company is headquartered in Chico, California.

In addition to an extensive California branch network, the company provides convenient access to its products and services with locations throughout California, advanced online and mobile banking, and a nationwide network of over 37,000 surcharge-free ATMs.

WEBCO HR, Inc. is an Equal Opportunity Employer

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