

## Compl Surveillance Intmd Analyst

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Company: Citi

Location: Buenos Aires

Category: computer-and-mathematical

Serves as a compliance risk analyst for Independent Compliance Risk Management (ICRM)'s Surveillance team responsible for the design, implementation, and oversight for a suite of surveillances designed to detect behaviors that may violate regulatory rules or internal policies and procedures. When potentially anomalous behavior is detected, the team is responsible for escalating the activity and working collaboratively with partners across the first and second lines of defense to determine the appropriate resolution of the matter, which may include employee discipline. . The ICRM Global Surveillance platform encompasses a number of surveillance related portfolios including trade surveillance, e-communications and voice surveillance, employee trading, outside activities surveillance, and information barrier surveillance.

### **Responsibilities:**

Reviewing and analyzing surveillance alerts and/or reports relating to firm, employee and client trading activity. Properly documenting the review and disposition of the exceptions as well as escalating matters appropriately.

Gathering and analyzing trade data to assist in the Firm's response to inquiries received from governmental and exchange regulatory bodies. Additionally, supporting the compliance group in evaluating surveillance results for potential problems, communicating surveillance findings to management in a clear and concise manner as well as interacting with legal and other compliance personnel.

Responding to inquiries or requests from internal partners (e.g. ICRM Assurance, Internal Audit, Legal).

Assisting with the design and implementation of new surveillances as well as the refinement of existing ones. Interacting with IT on the specific design and testing of new surveillances.

Additional activities including handling telephone hotlines and performing data entry in various systems.

Additional duties as assigned.

Has the ability to operate with a limited level of direct supervision.

Can exercise independence of judgement and autonomy.

Acts as SME to senior stakeholders and /or other team members.

Appropriately assess risk when business decisions are made, demonstrating particular consideration for the firm's reputation and safeguarding Citigroup, its clients and assets, by driving compliance with applicable laws, rules and regulations, adhering to Policy, applying sound ethical judgment regarding personal behavior, conduct and business practices, and escalating, managing and reporting control issues with transparency.

**Qualifications:**

Knowledge of Compliance laws, rules, regulations, risks and typologies

Excellent written and verbal communication skills

Must be a self-starter, flexible, innovative and adaptive

Demonstrated interpersonal skills with the ability to work collaboratively and with people at all levels of the organization

Strong project management and organizational skills and capability to handle multiple projects at one time

Proficient in MS Office applications (Excel, Word, PowerPoint)

Some knowledge in area of focus

**Education:**

Bachelor's degree; experience in compliance, legal or other control-related function in the financial services firm, regulatory organization, or legal/consulting firm, or a combination thereof; experience in area of focus

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**Job Family Group:**

Compliance and Control

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**Job Family:**

Surveillance

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**Time Type:**

Full time

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