



TITLE: Compliance and Operations Specialist
REPORTS TO: Compliance Officer
FLSA: Hourly
CATEGORY: Full Time
SHIFT: Monday – Friday 8:00am – 5:00pm

SUMMARY

Provides support to the compliance team by assisting with management of the Bank's procedures, BSA/AML program, projects, and the compilation of deposit and compliance related reports. This position works closely with the Compliance Officer to identify risks and opportunities for efficiencies in the processes of the Bank, and works to build prudent solutions to those risks and inefficiencies.

ESSENTIAL DUTIES

- 1. Supports Compliance Officer in creating, managing, and distributing the Bank's policies and procedures.**
- 2. Monitors legislative and regulatory environment for proposed changes and their potential impact on the Bank. Aids the Compliance Officer in the identification of policies and procedures that might not comply with regulatory requirements.**
- 3. Assists with day-to-day monitoring of the Bank's BSA/AML program.**
- 4. Creates and manages reports that provide insight to key data points around compliance and risk related areas of the Bank.**
- 5. Prepares reports for local board and management activities. Participates in preparation of various committee meeting minutes where appropriate.**
- 6. Assists in gathering for review, all reports and other information requested in preparation for exams and audits across the Bank.**
- 7. Aids in analyzing and providing recommendations for process improvements throughout various areas of the Bank. Collaborates with different departments to understand department needs and work with them to develop and implement solutions.**
- 8. Participates in projects throughout the Bank. Project participation can include, but is not limited to, oversight of specific tasks, creation of procedures and forms related to the project, and providing status updates to team leads.**

SECONDARY DUTIES

- 1. Responds to inquiries or refers inquiries to the appropriate department or person, exhibiting the necessary follow through with clients and/or colleagues involved.**
- 2. Provides direct & indirect customer service by giving advice and answers for a variety of basic to complex questions to clients and to co-workers.**
- 3. Maintains all related paper and electronic file systems so that necessary documents can be found easily, and documentation is consistent and complete.**
- 4. Assumes responsibility for various department functions in the absence of staff members or in overload situations.**

5. **Completes all assigned Compliance training.**
6. **Assists Compliance Officer, BSA Compliance Officer, and Chief Administrative Officer with other duties as assigned.**

GENERAL

1. **Provides excellent personal customer service to all internal and external clients.**
2. **Treats people with respect; keeps commitments; inspires the trust of others; works ethically and with integrity; upholds organizational values; accepts responsibility for own actions.**
3. **Follows policies and procedures; completes administrative tasks correctly and on time; contributes to the overall profitability of the Bank through cost controls and expense monitoring.**
4. **Applies good judgment in decision making and sees beyond immediate assignments and acts on opportunities and problem areas.**
5. **Performs position safely, without endangering the health or safety to themselves or others and reports potentially unsafe conditions.**
6. **Works according to established schedules, arriving on time and with a positive attitude.**
7. **Supports the Bank's goals and values; benefits the Bank through outside activities.**
8. **Any other duties as defined by management.**

QUALIFICATIONS AND DEMONSTRATED ABILITIES

These specifications are general guidelines based on the minimum experience normally considered essential to the satisfactory performance of this position. The requirements listed below are representative of the knowledge, skill and/or ability required to perform the position in a satisfactory manner. Individual abilities may result in some deviation from these guidelines.

1. **Associates degree in related field or equivalent combination of education and experience. Work related experience should consist of a minimum of two (2) to three (3) years of banking experience. Educational experience, through in-house training sessions, formal school or related curriculum, should be applicable to the banking industry.**
2. **Ability to read, analyze and interpret business periodicals, professional journals and technical procedures.**
3. **Good organizational and time management skills, to ensure maximum productivity.**
4. **Excellent skills in computer terminal and personal computer operation; word processing, spreadsheet and specialty software programs.**
5. **Intermediate typing skills to meet production needs of the position.**
6. **Exceptional verbal, written and interpersonal communication skills with the ability to apply common sense to carry out instructions, and to speak clearly to customers, employees, directors and shareholders.**
7. **Ability to deal with complex problems involving multiple facets and variables in non-standardized situations.**
8. **Ability to work with minimal supervision while performing duties and to handle confidential information with discretion.**
9. **Ability to operate standard office equipment such as copy and fax machines, scanner, etc.**

PHYSICAL REQUIREMENTS

- 1. Ability to sit and/or stand for extended periods of time.**
- 2. Occasional walking to assist or meet with customers and staff at various locations within the Bank.**
- 3. Continuous clarity of vision at 20 inches or less for normal processing of work.**
- 4. Repetitive use of hands such as grasping, twisting/turning of wrists, and finger dexterity necessary to perform various clerical duties such as typing, writing, and maintaining files.**
- 5. Occasional use of arms such as pushing/pulling to open and close drawers and cabinets.**
- 6. Occasional bending and/or reaching for supplies, etc. on both low and high shelves.**

ACKNOWLEDGEMENT

I have reviewed the above job description and acknowledge that I am able to perform the duties and responsibilities described herein. Summit Bank reserves the right to update job descriptions periodically. I acknowledge that this job description does not in any way create a contractual relationship, and does not alter Summit Bank's at-will employment relationship with me.

Employee Signature

Date