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Compliance, Federation Compliance, EMEA – Engineering, Technology Risk and GCDI Coverage, Executive Director, London

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Company: Goldman Sachs

Location: London

Category: other-general

OUR IMPACT

At Goldman Sachs, the mandate of Global Compliance is to prevent, detect and mitigate compliance, regulatory, and reputational risk across the firm and help to strengthen the firm's culture of compliance. Compliance accomplishes this mandate through the firm's enterprise-wide compliance risk management program. As an independent control function and part of the firm's second line of defense, Compliance assesses the firm's compliance, regulatory and reputational risk; monitors for compliance with new or amended laws, rules and regulations; designs and implements controls, policies, procedures and training; conducts independent testing; investigates, surveils and monitors for compliance risks and breaches; and leads the firm's responses to regulatory examinations, audits and inquiries.

Compliance provides advice on how to conduct the firm's business in a manner that complies with the vast array of rules, regulations and regulatory expectations around the globe. Importantly, Compliance plays a key role in reviewing and effectively challenging transactions presenting compliance or reputational risks.

Federation Compliance provides compliance coverage to the Operations, Engineering, Controllers, Corporate Treasury, Corporate and Workplace Solutions, Executive Office, Finance, Office of the CAO, Finance Planning and Analysis, Risk, Tax and Human Capital Management divisions ("the Federation"). This includes:

Conducting risk identification, measurement and assessment

Monitoring for compliance with laws, rules, regulations and policies, including the

identification and investigation of conduct related issues

Participating in firm responses to regulatory examinations, audits and inquiries

Performing surveillance and investigations of business activities of the above referenced Federation groups

Testing the effectiveness of controls

Writing policies and procedures

Communicating regulatory requirements and firm policy expectations to educate others both one-on-one and through compliance learning initiative

YOUR IMPACT

As part of the EMEA Federation Compliance team, you will provide compliance support and coverage for the firm's Engineering division, Technology Risk and Global Cyber Defence and Intelligence teams. You will also participate in region-wide and global initiatives to enact the Global Compliance mandate and Business Unit priorities. To fulfill this role and responsibilities, you will need to:

Advise, challenge, and influence the Engineering Division, Tech Risk, Global Cyber Defense and Intelligence and other business divisions on regulations, policies, and reputational risk

Brief senior leadership on risks identified and ensure stakeholder engagement

Analyze and conduct ongoing reviews of technology regulations, trends and enforcement actions to assess the impact to the firm and identify potential gaps

Partner with the impacted groups to ensure the business is able to support new requirements

Identify, investigate and manage compliance issues and escalations involving the Engineering Division, Technology Risk and GDCI

Coordinate with counterparts in other jurisdictions to ensure the firm is meeting technology related regulatory requirements globally

As needed, support development and analysis of technology-related policies, standards and processes to ensure compliance with applicable regulations and requirements

Recommend compliance testing or forensic work to be performed

Develop and deliver communications and training to the Engineering Division and other Federation teams

Coordinate with the broader Federation Compliance team on specific initiatives and projects

QUALIFICATIONS AND SKILLS

A strong candidate for Federation Compliance will satisfy the following criteria:

At least 6-8+ years of work experience as a compliance officer or in a risk management role preferably focused on operational risk or information security risk management

Bachelor's degree or higher

Good understanding of the risks associated with technology functions

Experience reading and interpreting regulations, laws and statutes

Understanding of the global regulatory environment as it relates to technology, cyber security, information security, data governance and artificial intelligence

Experience interacting with regulators, or supporting regulatory audits or inquiries

Experience in cyber regulatory requirements and technology incident reporting is a plus

Intellectual interest in new and emerging technologies, opportunities and risks, including artificial intelligence

A strong candidate for Federation Compliance will possess the following skills:

Clear, concise communications skills; able to communicate with impact at senior levels

Able and willing to challenge; comfortable with inter-personal conflict; able to build strong professional rapport with stakeholders while maintaining independence as a risk manager

Work independently. Exercise sound judgment, ethics and integrity

Fast learner; able to adapt to business and regulatory changes; interest to challenge status quo and find new solutions

Well organized with the ability to manage both longer term projects and daily, often time-

sensitive, escalations

Strong analytical, technical and problem-solving skills, with the ability to exercise sound and balanced judgement

Take ownership of tasks, progress them independently, and escalate to senior stakeholders when required

Proficient in using technology; able to analyze data sets and summarize findings; comfortable learning new technologies, both as a user and to identify risks

Team-oriented and supportive of others' success; comfortable representing a team work product to stakeholders

ABOUT GOLDMAN SACHS At Goldman Sachs, we commit our people, capital and ideas to help our clients, shareholders and the communities we serve to grow. Founded in 1869, we are a leading global investment banking, securities and investment management firm. Headquartered in New York, we maintain offices around the world. We believe who you are makes you better at what you do. We're committed to fostering and advancing diversity and inclusion in our own workplace and beyond by ensuring every individual within our firm has a number of opportunities to grow professionally and personally, from our training and development opportunities and firmwide networks to benefits, wellness and personal finance offerings and mindfulness programs. Learn more about our culture, benefits, and people at [/careers](#). We're committed to finding reasonable accommodations for candidates with special needs or disabilities during our recruiting process.

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