

## Job Description

Name:	TBC
Title:	Analyst
Division:	Enforcement Division
Reports to:	Assistant Directors
Updated:	November 2025

### Principal Duties and Responsibilities:

#### General

1. Working to *ensure the Commission delivers high quality prudential, financial crime and conduct regulation within the Bailiwick of Guernsey* including *facilitating innovation and discouraging poor quality ventures*.\*
2. Assisting to *protect and enhance the Bailiwick's international reputation*\* within the financial services sector in order to promote a *regulatory environment in which good firms do good business*.\*

#### Enforcement

3. Identifying, investigating and taking action against those conducting business in breach of regulatory and corporate regimes.
4. Conducting statutory investigations, including arranging and undertaking on-site visits to licensees to investigate reported breaches of the regulations, obtain evidence, conduct interviews, preparation of Notices, preparation for meetings; attending meetings; preparing accurate notes of meetings etc. in reasonable, proportionate, efficient and fair manner.
5. Managing the day to day running of their respective enforcement cases by liaising as appropriate with the referring supervisory Division.
6. Evaluating evidence and formulating reports of investigative findings for consideration by the Assistant Director and Director of Enforcement, containing clear conclusions and recommendations and include, where appropriate, relevant cases, and reputation risk.
7. Investigating cases efficiently/time effectively, in compliance with Enforcement policies and priorities as laid down by the Commission.
8. Producing affidavits, witness statements, obtain expert opinions, including analysis of information, etc. and be conscious of deadlines as set by the Director and Deputy Director of Enforcement.
9. Identifying whether external expertise/resource is required for investigations, if so, make recommendations to the Assistant Director or Director as appropriate.
10. Attending on-site firm visits to interview, as appropriate, licensees and responsible persons under investigation by the Enforcement Division.

\*Quoted from Mission Statement

### Communication and Written Skills

11. Effectively contributes to meetings in a clear and professional manner.
12. Liaising with licensees, international regulators, other professionals, complainants and members of the public to ensure effective co-operation and exchange of information with regard to regulatory enforcement, disciplinary and financial crime enquiries/investigations.
13. Liaising with Supervisory and Policy Divisions and communicating with them concerning progress of enquiries and subsequent investigations that may impact on the Enforcement Division.
14. Maintaining accurate, clear and concise completed records recording progress of investigations allocated to you, and decisions taken in respect of them by either yourself or the Assistant Director, Deputy Director or Director. Ensuring written work can be relied upon as a Commission record.

### Professional Excellence and Cooperation

15. Working innovatively to move cases to closure and maximise results.
16. Collaborating with others across the team and the Commission. Assisting with the training of new staff joining the organisation.
17. Demonstrating an awareness of both Commission and Industry demands, developing a 'can do' attitude whilst taking personal responsibility for own workload, prioritising tasks and rescheduling as required.
18. Taking responsibility for updating professional and technical knowledge, developing an understanding of regulatory laws, rules, codes and guidance.
19. Attending training courses commensurate with the role of a member of the Enforcement Division (including those leading to professional qualifications) and seminars; plus attending conferences, as agreed by the Director of Enforcement.
20. Completing all work in line with deadlines that are set, to a high standard, in line with team requirements, displaying a high level of attention to detail.
21. Making constructive recommendations for change and assisting in the implementation of all change.

### Other

22. Assisting in other work of the Commission as directed by the Director of Enforcement.

Any other duties or responsibilities as may be required from time to time in context with the job and in relation to the services provided by the Division, Department or function.

<i>This job description is provided as an outline of the duties and responsibilities of the post holder and will be reviewed annually in accordance with the Commission's annual appraisal process and / or in light of any service development or changes.</i>
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