

Job Description

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

Principle 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 site visits, obtaining evidence, conducting interviews, preparation of Notices, and preparation for meetings; attending meetings; preparing 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 referring supervisory division.
6. Liaising with international regulators to ensure effective co-operation and exchange of information with regard to regulatory enforcement, disciplinary and financial crime enquiries/investigations.
7. Leading on visits to licensees to investigate reported breaches of the regulations.
8. Meeting with licensees and counsel to discuss potential contentious issues surrounding an investigation and findings.
9. Preparing reports of investigative findings for consideration by the Deputy Director and Director of Enforcement.
10. Investigating cases efficiently/time effectively, in compliance with Enforcement policies, procedures and priorities as laid down by the Commission.
11. Producing affidavits, witness statements, obtain expert opinions, including analysis of information, etc. and be conscious of deadlines as set by the Deputy Director and Director of Enforcement.
12. Presenting investigation findings to a Case Review Panel where appropriate.
13. Working innovatively to move cases to closure and maximise results.

*Quoted from Mission Statement

14. Identifying whether external expertise/resource is required for investigations, if so, making recommendations to the Deputy Director or Director as appropriate and with costs of any such assistance.

Communication and Written Skills

15. Effectively Chairs/contributes to meetings in a clear and professional manner.
16. Developing comprehensive interview plans and interviewing, as appropriate, licensees and responsible persons under investigation by the enforcement division.
17. Evaluating evidence and formulating reports for the Director of Enforcement, containing clear conclusions and recommendations and include, where appropriate, relevant cases, and reputation risk.
18. 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.
19. Liaising with Supervisory Divisions and communicating with them concerning progress of enquiries and subsequent investigations that may impact on the Enforcement Division.
20. 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

21. 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.
22. Collaborating with others across the team and the Commission; understanding all aspects of the role and how it contributes to the success of the Commission. Assisting with the training of new staff joining the organisation, recognising the different styles and abilities of the team.
23. Demonstrating an awareness of both Commission and Industry pressures, developing a 'can do' attitude whilst taking personal responsibility for own workload, prioritising tasks and rescheduling as required, ensuring plans are put in place to meet the Commission's business objectives and are communicated appropriately.
24. Reading and generally keeping up to date with developments within the industry.
25. Representing the Commission at industry functions and seminars / conferences.
26. Completes all work promptly to a high standard, in line with team requirements and ensures a high quality of work is consistently produced by the team displaying a high level of attention to detail.
27. Making constructive recommendations for change and improvement and assisting in the implementation of all change.

Other

28. 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.

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.

