



LEGACY

PRIVATE TRUST COMPANY

Assistant Risk Officer

Our Company Job Description

Job Description

JOB SUMMARY

The Assistant Risk Officer will support the Director of Enterprise Risk Management, Audit and Compliance as well as the Audit and Compliance Officer in managing and overseeing all corporate risk management initiatives and information security protocols. This role involves assisting in the development and implementation of policies and procedures, monitoring compliance, and ensuring the organization adheres to all regulatory requirements. This position reports directly to the VP and Director of Enterprise Risk Management, Audit and Compliance.

DUTIES AND RESPONSIBILITIES

- Performs other related duties as assigned or requested.
- Maintain confidentiality in all aspects of client and staff information.
- Adhere and uphold the conduct and performance standards of Legacy in all duties performed.
- Assist in the development, implementation, and management of Governance, Risk and Compliance (GRC) frameworks.
- Support the Director of Enterprise Risk Management, Audit and Compliance in overseeing all aspects of risk management and organizational resilience.
- Assist the Director of Enterprise Risk Management, Audit and Compliance, and the Audit and Compliance Officer with management of the company-wide enterprise risk management program.
- Assist and conduct risk assessments throughout the various departments within the company.
- Assist in developing and managing security policies and standards.
- Help manage the business continuity and disaster recovery plans.
- Assist in the development and maintenance of a third-party vendor risk management program.
- Assist in overseeing corporate insurance to ensure adequate coverage for the organization.
- Assist the Audit and Compliance Officer as needed with all internal audits and external examinations as required.

Job descriptions may be subject to change as needed.

Qualifications

To perform this job successfully, an individual must be able to perform each essential duty satisfactorily. The requirements listed below are representative of the knowledge, skill, and/or ability required. Reasonable accommodations may be made to enable individuals with disabilities to perform essential functions.

MINIMUM EDUCATION

Bachelor's Degree

MINIMUM EXPERIENCE

3-5 years of trust operations or audit and compliance with a bank or financial services firm

PREFERRED EXPERIENCE

5 - 10 years of experience in trust operations, trust administration, or middle office management combined with familiarity and knowledge of BSA/AML and SAR reporting requirements. Familiarity with key trust regulations and interpretations, knowledge of trust laws and operations, and risk assessment and analysis.

CERTIFICATIONS/LICENSES

No certification is required to be hired.

PHYSICAL DEMANDS

The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform essential functions.

While performing the duties of this job, the employee is regularly required to stand, walk, sit, use hands and arms, and talk or hear. The role includes tasks that require both close and distance vision. Driving is often expected as part of the position.

WORKING ENVIRONMENT

The work environment characteristics described here are representative of what an employee may encounter while performing the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform these functions.

This position operates primarily in a professional office environment, where the noise level is typically quiet to moderate. Occasional off-site visits or events may require adaptability to different environments. The role may also involve interactions with high-level executives and clients, requiring a professional demeanor at all times.

LANGUAGE ABILITY

Strong ability to read, analyze, and interpret complex documents such as trusts, wills, deeds, legal contracts, operating manuals, and procedural guidelines. Demonstrated skill in drafting clear, accurate reports and correspondence, with a keen eye for detail in proofreading. Excellent verbal communication skills, with the capacity to present information effectively to groups of clients, executives, or employees, ensuring clarity and professionalism in all interactions.

MATH ABILITY

Highly proficient in performing advanced calculations, including addition, subtraction, multiplication, and division across all units of measure, with strong expertise in handling whole numbers, fractions, and decimals. Demonstrated ability to compute rates, ratios, and percentages with accuracy and to effectively interpret and create bar graphs and other data visualizations with clarity and precision.

REASONING ABILITY

Strong ability to apply sound judgment and common sense to follow instructions provided in written, oral, or diagram form. Skilled

in analyzing and resolving problems that involve multiple concrete variables, even in standardized or structured situations, with a focus on efficiency and accuracy.

COMPUTER SKILLS

Highly proficient in Microsoft Office Suite (Word, Excel, PowerPoint, Outlook) and document management systems like DocuWare. Experienced with financial software such as QuickBooks and familiar with Artificial Intelligence (AI) applications to enhance office productivity and streamline workflows. Demonstrated ability to quickly learn and adapt to other software platforms, including CRM systems, Trust Accounting software, and other specialized tools essential for executive operations.

KNOWLEDGE, SKILLS AND OTHER ABILITIES

- Knowledge of principles and practices of executive-level organization, planning, records management, and general administration.
- Strong understanding of various types of investment accounts (i.e., agency, trust, estate, retirement) and trust industry terminology (i.e., fiduciary, beneficiary, residual beneficiary).
- General knowledge of tax principles related to gains, losses, income vs. principal.
- Exceptional ability and willingness to provide superior, personalized client service, particularly in high-net-worth environments.
- Ability and willingness to project a professional image in all interactions with both internal and external clients, maintaining the highest level of discretion and confidentiality.
- Proven ability to prioritize, multi-task, and manage several high-level projects simultaneously while keeping other team members on task.
- Proven ability to follow oral and written instructions with precision and thoroughness.
- Strong initiative and problem-solving skills, with a proactive approach to addressing challenges and streamlining workflows.
- Demonstrated ability to work effectively both independently and as part of a team, with the flexibility to adapt to shifting priorities.
- Ability to develop and maintain strong working relationships with third-party vendors and other external partners.
- Meticulous attention to detail, with a commitment to accuracy in reporting, correspondence, and financial documentation.