

Job Title: Senior Compliance Associate – Resolution Compliance

Contract: Permanent

Reports to: Senior Manager

Location: London/Remote

Job summary:

Resolution Compliance Limited is a regulated network and is authorised and regulated by the Financial Conduct Authority and is part of Thistle Initiatives Group of companies.

The Senior Compliance Associate will assist the Compliance Team in delivering a range of compliance and supervision solutions to its Appointed Representative firms through its regulated principal firm, Resolution Compliance. The individual will need to demonstrate independence of thought, a willingness to challenge where appropriate, be able to work within a team and be pro-active.

The ideal candidate will have had some experience working within a regulated organisation in a compliance or operational role, with responsibilities akin to those detailed in the 'Key Responsibilities' section below.

Key Responsibilities:

- Assist with the Appointed Representative onboarding process
- Review and approve financial promotions
- Conduct file reviews
- Assist with writing training material
- Assist with training and competence visits to Appointed Representative firms
- Write audit reports with a reasonable level of support
- Undertake assisted client visits moving towards unassisted visits
- Assist with induction and annual assessment training courses
- First point of contact for firms
- Undertake specific projects as required
- Compile reports on request
- Provide general administrative support to the compliance team
- Assist with the development of internal policies and procedures
- Maintain/update systems and databases
- Generate and review MI on a regular basis, highlighting any trends with a course of recommended action to Management
- Keep up to date with the FCA and industry sources to assist with providing the firm with regular updates
- Recognition and escalation of issues to appropriate consultant/management

This role is not limited to the above duties, due to the nature of the market you will need to be adaptable and open to change in this position

Competencies:

Behavioural

- Must be mindful of the commercial objectives of the firm when delivering compliance assistance
- Should have a desire to see the firm succeed
- Should be adaptable to the changing requirements of the regulations and be keen to develop new skills
- Should be able to communicate openly and effectively, both internally and externally, in order to deliver the requirements of the regulations
- Must be able to establish and maintain trusting relationships with others
- A collaborative and solution led approach that fosters effective and productive working relationships. Must be considerate to the needs and opinions of others
- Must be able to work under own initiative identifying when referral needs to be made
- Must actively seek other tasks if successfully completed one task

Technical

- Advanced / intermediate MS Excel, MS Word and MS PowerPoint
- Demonstrates an ability to solve problems in a rational manner
- Must have and maintain a detailed understanding of FCA regulation and be able to apply this to the business requirements of the firm
- All work must be completed with the focus on quality
- Demonstrates an awareness of the immediate and the wider implications when applying regulation in practice
- Organises and plans effectively
- Must be able to prioritise and manage time and tasks effectively; this includes a readiness to delegate where possible

Experience/Qualifications

- CISI Level 3 qualifications or equivalent not essential but would be an advantage
- Educational attainment at degree level not essential but would be an advantage
- Demonstrable good standard of Maths and English literacy
- Broad base of financial services compliance knowledge
- Good attention to detail and be highly organised
- Ability to be able to work to deadlines
- Excellent verbal and written communication skills

We offer

- Competitive salary and the ability to grow your career within the Thistle Initiatives Group
- 25 - 30 days holiday entitlement depending on length of service
- Company pension scheme
- Private Medical Insurance
- Gym membership contribution
- Fantastic City of London location and working environment
- Working with dynamic teams with regular social events