

Compliance Project & Regulatory Reporting Manager

Job Description

Reports To:	Compliance Director
Responsibility for Others:	None
Department:	Group Compliance
Location:	Horsham
Hours of Work:	Monday to Friday 9am to 5.30pm with 1 hour for lunch

General Responsibilities

- Assist the Compliance Director in administering Group reporting requirements
- Assist the Compliance Director in administering Group policies and monitoring frameworks
- Assisting the Compliance Director in data extraction, report preparation and regulatory liaison
- Coordinate compliance project work and assist with regulatory implementations
- Preparing annual reports on a number of different aspects of the business
- Engaging with other compliance managers to ensure strong communications across the business
- Assist with Group risk management
- Keep up-to-date with regulatory and industry developments
- Provide support for Compliance Director and Compliance Managers as appropriate
- Where necessary; assist with the management and scheduling of all aspects of Group oversight competently and within desired timescales
- Liaise with business stakeholders and external parties in respect of escalated issues
- Liaise effectively with senior management in respect of regulatory issues
- Assist in making all appropriate notifications to the FCA
- Produce regular internal MI to cover the role activity

Compliance Responsibilities

- Apply a risk-based and common-sense approach to the compliance monitoring and policy-based processes

- Undertake appropriate reviews, ensuring that the findings are accurately recorded and handled appropriately to mitigate associated risks
- Researching and producing MI reports to be escalated to senior management
- Administering Group policies and assist in defining relevant procedures and controls
- Manage the department's outstanding IT development
- Undertake due diligence & screening of key suppliers and business partners
- Liaising with other team members in respect of relevant procedures, data extraction, research and due diligence
- General document management

Ad-hoc Responsibilities

- Take on tasks and projects as delegated by the Compliance Director, or develop tasks which are deemed necessary, applying a can-do attitude and a timely approach
- Update manuals, procedures and Group documentation as required
- Complete tasks to a high standard, and apply initiative to accommodate for wider issues

Skills and Knowledge

- Knowledge of FCA rules and their interpretation/application
- Knowledge of FCA reporting requirements
- Ability to train and motivate others whilst remaining flexible/adaptable
- Ability to extract and analyse data
- Ability to manage and co-ordinate a number of tasks and remain organised with all actions
- Highly developed analytical, observational and communication skills

Qualification Requirements

- Minimum of level 4 Diploma in regulated financial planning (or equivalent), with significant progress towards the achievement of further qualifications desired
- Significant compliance experience within the financial services, preferably in an investment or network environment, and an in-depth understanding of FCA/PRA regulatory expectations
- Experience working with and running a team