

Compliance Officer | Legal and Medical Investments

At Legal & Medical Investments Ltd, we make customers our number one priority by delivering exceptional financial advice underpinned by first-class customer service. We aim to build long term relationships to ensure that our clients achieve their long-term financial goals.

Due to a period of sustained organic growth, we are looking to recruit an individual with a desire and the ability to grow into the role. The role involves hybrid working and will entail a mixture of working remotely or in the office at the discretion of the Compliance Manager.

Job description

Providing support to the Compliance Manager, and across the business.

The successful candidate will be part of a small team and should have the ambition to help grow the business by proactively working with the management team, developing their skills regarding compliance rules and regulatory change, offering compliant pragmatic solutions.

They will implement effective communication routes to departments to ensure all parties are working to the same set of procedures, helping to ensure the Company is always compliant with FCA regulations

Key Duties:

- Assist with the smooth running of the Legal & Medical compliance department, managing the compliance monitoring programme and compliance diary.
- Help administer the 'Compliance Team' email inbox responding to emails, referring to colleagues and managing expectations of all parties in a timely manner.
- Maintain and amend policies and procedures as necessary in line with FCA regulations. Follow through to ensure all departments are aware of changes and amendments and follow the new/amended procedures.
- Work collaboratively with all business areas to develop and improve business processes to improve compliance and productivity.
- Participate in audits and review file checks to ensure execution of compliance standards.
- Assist investigations to discover the root cause of the issue when compliance problems arise.
- Participate in the design, writing and distribution of documents that educate others on how to improve compliance.
- Be able to extract and interpret meaningful Management Information (MI) from supporting in-house systems.
- Build relationships with relevant third-party providers including our Compliance Consultants.
- Assist with the presentation of compliance topics at team meetings as required.
- Supporting the delivery of ad-hoc compliance activities and projects as required.

Person Specification:

- Possess excellent customer service skills and a can-do attitude striving not only to meet compliance standards, but also to exceed them for peak operating efficiency.
- Demonstrates an approachable, professional demeanour.
- Ability to organise and prioritise workload to ensure deadlines are met.

Experience & Skills:

- Minimum of 2 years industry experience with a Compliance background, ideally in a Wealth Management /IFA environment.
- Demonstrate a knowledge and basic understanding of the FCA Handbook in areas such as Principles for Business, Conduct Rules and Fair Treatment of customers.
- Excellent written and verbal communication skills.
- Display attention to detail and accuracy of notes, documents produced.
- Competent using Office packages - Word, Excel and PowerPoint.

Qualifications:

- Industry relevant qualifications (desirable).
- An appetite to sit further exams with a Compliance bias where identified (desirable).

Previous experience within the financial services industry is preferred.

Job type: Full-time, Permanent

Salary: £30,000 - £35,000 per year

Contact us to apply

If you'd like to join the team, apply today! Send your CV to: enquiry@legalandmedical.co.uk and write a short cover letter.