

# COMPLIANCE MANAGER NEEDED TO JOIN OUR FAMILY



## Key Knowledge Areas

### Essential:

- A broad technical knowledge and expertise in relation to risk and compliance regulatory processes and matters at a senior level
- Experience of working within a professional services (preferably legal) industry
- A good working knowledge of the Lexcel accreditation and the ability to lead this process on an annual basis
- A good knowledge of reporting procedures and record keeping
- A practical and commercial approach to problem solving
- Project management skills and the ability to multi-task and work under pressure
- Good written communication and drafting skills
- Strong communication and influencing skills
- Experience of leading and managing a team
- An ICA Diploma or equivalent qualification in International Compliance and Anti-Money Laundering

### Desirable:

- A Bachelors or Master's Degree Industry Certification
- A Law Degree

### Familiar with:

- Microsoft Applications and Accounting systems
- General Accounts and Solicitor's Accounts Rules

### Team

Business Support Services

### Reporting to

Head of Risk & Compliance

### Location

Gatwick - There will also be a requirement to attend the Milton Keynes and London offices as and when required.

### Benefits

- 25 days holiday per annum
- 5% employer pension contribution
- BUPA Private Health
- Employee Assistance Programme
- Income Protection Scheme
- Death in Service Benefits
- Perkbox/Benefits hub

### Equal Opportunities

The firm is an Equal Opportunities Employer and is committed to the implementation and maintenance of employment and recruitment practices which will ensure that no potential or current employee or trainee, is treated less favourably on the grounds of age, disability, gender, marital status, race, nationality, colour or any other aspects unrelated to their current and potential skills, aptitudes and abilities.

## **Role Responsibilities:**

- Oversee and maintain the accreditation Lexcel including but not limited to the maintenance of all office procedures, file review procedures and liaising with external consultants
- To continually promote, actively educate and encourage everyone in the firm to work within Best Practice
- Highlighting non-compliance issues and liaising with employees at all levels as required
- Continually develop and review control systems and processes to prevent any breaches of firm guidance, policies and procedures
- To regularly review and update policies, procedures and reporting to ensure compliance at all times
- To be responsible for maintaining the Policies section of the firm's Intranet
- Investigate all compliance issues to discover the cause and implement solutions with the agreement of the Head of Risk and Compliance ensuring incidents are actioned appropriately
- To assist with the training of new starters at the firm and refresher training for existing employees
- Responsible for the management of the archiving processes (physical and electronic) storage ensuring that statutory obligations are complied with in terms of retention periods
- To maintain the firm's Risk Register, liaising with all Business Support Services TLs and Legal Services HoTs to ensure all relevant areas are up to date
- Keep abreast of regulatory developments as well as evolving best practices in compliance control
- Regularly educate the firm on how to maintain and improve compliance
- Assess with the Head of Risk and Compliance, future business activities to identify possible compliance risks
- To review all firm documentation and literature such as marketing materials for compliance with legal requirements
- Day to day supervision of the Compliance Assistant and Records & Compliance Administrator
- Undertaking other duties and tasks that are appropriate for the role of the Compliance Manager