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| **COMPLIANCE ASSISTANT (12 MONTH FIXED TERM CONTRACT)**  **JOB DESCRIPTION** | |
| **OFFICE LOCATION:** | Boolers (Pensions and Investments) 9 Grove Court, Grove Park, Enderby, Leicester, LE19 1SA. |

**OUR BUSINESS:**

Having welcomed clients since 1983, the business has grown organically over the years by putting clients at the core of our proposition. By providing excellent service and outcomes for clients we have achieved significant growth and now look after in excess of £1bn of client assets.

We strive to recruit, develop, and retain individuals who share our vision and values and who want to make a valuable contribution to the continued success of our business. We encourage staff progression which could ultimately include the future opportunity of taking part in equity ownership in the business subject to business need and individual assessment. A key part of the business’s succession planning has been developing ambitious employees who wish to take part in the most fundamental of ways i.e., partnership.

Our office is based in Enderby, Leicestershire and we service high net worth clients across the UK. We look to build long term client relationships based on trust, professionalism, and support which is echoed in our staff approach. This year we were delighted to receive for the third time a “Best Financial Advisor to Work for” award by Professional Advisor, following their review of our company policies and anonymous staff feedback.

We are committed to the highest standards of knowledge and skill as demonstrated by our Chartered Status. Our employees are consistently encouraged and supported to challenge themselves and to develop their qualifications.

Our business has grown on a foundation of excellent service, high standards of advice and a commitment to treating both staff and clients with the utmost respect.

**OVERALL PURPOSE AND SCOPE OF THE JOB:**

* Provide a quality service to the Business under the training and guidance of the Compliance Manager
* Support and assist the Compliance Manager to meet the regulatory requirements in respect of compliance monitoring controls for the Business
* Maintain records that meet the requirements of the firm and the regulator

**MAIN TASKS:**

Provide recording and statistical data obtained from a variety of sources to support the various compliance functions. To help ensure that David Booler & Co, its appointed representatives and David Booler SIPP Trustees Limited comply with the FCA regulations, with legislation relating to the prevention of money laundering, financial crime, and fraud. This will be in the following areas:

* Client money
* Complaints
* Data protection
* Financial reports and resources, e.g. RegData,
* Professional indemnity insurance
* Training and Competence
* Senior Managers and Certification Regime
* Consumer Duty

Maintain analyse and report data from a range of compliance registers:

* Data required to support the investigation of complaints
* Continuous Professional development records (CPD)
* Financial Conduct Authority reporting requirements
* File checks recording
* Daily Client Money Reconciliation
* Meeting notes analysis including the production of monthly, quarterly, and annual statistics on standards

Maintain records and collate Management Information (MI):

* New business and review meeting service standards
* Compliance Team Data Recording

Training and Competence (T&C):

* Assist with the preparation and update of individual T&C files
* Create and maintain testing on 360 Portal

These are the initial tasks to be undertaken within the role. It is envisaged that this is a growing role and that once competent in the above duties the individual will have additional capacity to assist and support the compliance manager, particularly in the areas of data recording/reporting and project work.

**THE AREA OF RESPONSIBILTY:**

It is the responsibility of the individual to ensure that the work that they undertake complies with legal, financial services, data protection and pension legislation. Appropriate training will be provided. The individual will initially work under close supervision until deemed competent. Thereafter supervision will take place, but on a less frequent basis. Ongoing competence will be assessed by performance monitoring. The specific measures are set out later.

**RELATIONSHIP WITH OTHER JOBS:**

* Working with all areas of the business

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| **PAY AND BENEFITS:** | **A yellow and black square with white text  Description automatically generated** |
| * Salary £23,000 - £26,000 per annum (dependant on qualifications, knowledge, and experience) * 2 x salary life assurance * Pension; 5% employer contribution - Increasing incrementally in recognition of service. Salary sacrifice scheme available. * 24 days’ holiday - Increasing incrementally in recognition of continuous service * Health Cash Plan Scheme. * Free parking * Hybrid Working Scheme – Following completion of initial training and induction |

**PERSON SPECIFICATION:**

**QUALIFICATIONS:**

1. Essential

* Educated to A-Level standard (or equivalent)
* Computer and Microsoft Office literate – Word, Excel, and Outlook

1. Desirable

* Degree in a relevant speciality
* Experience of working in the compliance field.

**KNOWLEDGE & SKILLS REQUIRED:**

1. Essential

* Good attention to detail
* Ability to communicate effectively written and verbal.
* Ability to create and maintain accurate paper and computer-based records
* Organisation skills

1. Desirable

* Good telephone manner
* Good letter and report writing skills
* Basic knowledge of financial services terminology
* Basic knowledge of FCA guidelines and principles

**DISPOSITION:**

* Organised
* Methodical
* Trustworthy
* Discreet
* Able to work to deadlines
* Able to prioritise work