

JOB DESCRIPTION

Job Title:	Compliance Monitoring Specialist
Department:	Compliance
Position reports to:	Compliance Monitoring Manager
Position is responsible for:	N/A
Location:	Leeds
Regulated Job Role	Certificated

ROLE PURPOSE

The Compliance Monitoring Specialist will be responsible for ensuring that the company adheres to regulatory requirements and internal policies. This role involves conducting regular compliance audits, monitoring activities, and identifying potential areas of compliance vulnerability. The specialist will work closely with various departments to ensure the effectiveness of compliance programs and to foster a culture of compliance within the firm.

RESPONSIBILITIES

Compliance Monitoring and Audits:

- Carrying out regular reviews and assessments of the company policies, procedures and operations, to ensure compliance with FCA regulations and industry standards.
- Conducting risk-based compliance monitoring reviews, ensuring that identified issues are addressed and recurrence risks are mitigated.
- Assisting the Compliance Monitoring Manager with the development and implementation of the compliance monitoring programme and processes to identify and mitigate potential compliance risks.
- Collaborating with all internal departments to address compliance issues and implement remedial actions as necessary.
- Generating clear, timely, and precise reports, both written and verbal, that highlight issues and propose recommendations for improvements or corrective actions.
- Reporting any potential compliance breaches or conduct issues and ensuring they are resolved efficiently and thoroughly.
- Assisting in the development and delivery of compliance training programs for employees to raise awareness of regulatory requirements and promote a culture of compliance.
- Participating in internal audits and compliance reviews to assess the effectiveness of controls and identify areas for improvement.
- Conducting focused reviews on customer outcomes across all product lines, using your expertise to evaluate customer experiences and recommend enhancements.

Reporting and Documentation:

- Preparing detailed compliance reports for senior management and regulatory bodies.
- Maintaining accurate and up-to-date compliance documentation and records.

Collaboration and Support:

- Providing compliance advice and support to various departments.
- Fostering a culture of compliance within the organization.
- Liaising with external auditors and regulatory bodies as required.
- Acting with integrity and for the benefit of the clients, in accordance with the objectives and cross

cutting rules of Consumer Duty.

- Ensuring compliance with FCA requirements, the firm’s Branch Manual, Code of Conduct policies and T&C framework (including Information Giver regulatory requirements)

QUALIFICATIONS, EXPERIENCE & ATTRIBUTES

Qualifications and Experience:

- Understanding of FCA relevant FCA handbooks
- Significant experience working in a Compliance role within Financial Services.
- Minimum of 3-5 years of experience in a compliance monitoring role or similar.
- Strong knowledge of regulatory requirements and industry standards.
- Relevant Compliance qualification

Skills and Competencies:

- Excellent analytical and problem-solving skills.
- Strong attention to detail and ability to work independently.
- Effective communication and interpersonal skills.
- Ability to manage multiple tasks and meet deadlines.

KEY RELATIONSHIPS

- Director Designate - Compliance and Regulation
- Head of Regulation
- Compliance Monitoring Manager
- Compliance teams

ACCOUNTABILITY

All individuals, regardless of their position, have a duty to support and promote the values and ethical principles of the Firm. Regardless of whether the role is or is not regulated by the FCA, individuals must adhere to the FCAs Conduct Rules, and there is a standard of conduct and behaviour that is required by the Firm. It is of the utmost importance that individuals seek to always uphold and promote the reputation of the Firm and should work collaboratively to deliver the best outcome. Further information is held within the Code of Conduct - Ethics Policy.

While the responsibilities in this job description are representative of the main tasks, they are not exhaustive. Therefore, role holders may be asked to perform tasks deemed reasonable to meet the business objectives resulting in amendments to the job description.

EMPLOYEE SIGNATURE

I acknowledge that I have read and understand the above job description in its entirety and accept that this is an accurate reflection of my role.

Signed

Date

