

Role Title Compliance Analyst Courtiers Investment Services Limited (CISL)

Department: Compliance CISL - Retail

Reporting To: Head of Courtiers Compliance CISL

Supervision Exercised:

- **Number of People Directly Reporting:** 0
- **Number of People Indirectly Reporting:** 0

Contacts:

- **Internal:** All Employees
- **External:** FCA/Auditors/Compliance, Consultants, Pensions Regulator/HMRC/Product Providers/Pension Consultants/Client Representatives

Main Purpose of the Role:

- Assist the Head of Courtiers CIS Compliance and in providing an effective systems and controls framework across the Organisation, to ensure compliance with all regulatory regimes under which the Business operates
- The focus is primarily on FCA compliance but also encompasses compliance with other regulation such the Data Protection Act and Proceeds of Crime Act
- Assist the Head of Compliance in safeguarding Courtiers' permitted activities, by way of undertaking monitoring reviews to demonstrate compliance

Duties and Responsibilities:

- To undertake tasks relating to the implementation of the objectives set out in the Compliance policies and Compliance Monitoring Programme
- To assist the Head of Courtiers Compliance in ensuring that the Company establishes and maintains, at all times, effective systems or internal controls in order to manage and minimise the risk of losses to clients or to the Business from errors, irregularities or fraud
- Assist in monitoring all aspects of the business to identify actual or potential weaknesses of internal controls, so that prompt remedial action may be taken by Senior Management
- To assist in monitoring proposed changes in legislation with particular relevance to compliance of all regulatory regimes
- To assist the Head of Courtiers Compliance in identifying, investigating and rectifying rule breaches, and fulfil any associated reporting requirements
- Assist in providing advice and coaching to employees to enable them to deliver process improvements, which are fully compliant with relevant regulatory requirements
- To assist in coordinating the handling of client complaints
- To assist in the creation, implementation, and development of internal systems, in order to meet regulatory obligations, and to improve and maintain efficient working practices within the organisation
- Undertake ad-hoc project work as needed

General:

- To ensure the confidentiality of all work undertaken
- To be aware of and comply with all Health and Safety Requirements affecting your work and report any problems immediately
- Yearly review of the Business Continuity Plan (BCP)

Business Development:

- Assist with updating of Procedures Manual and ensure that it remains up to date
- To make recommendations as to how the firm's systems and procedures might be improved
- Contribute to corporate development and prosperity, assist other employees and be involved with their training as required
- To assist in the creation, implementation, and development of internal systems, in order to meet regulatory obligations, and to improve and maintain efficient working practices within the organisation
- Promote the brand
- Promote the core values so that they are live throughout the team

Client Service:

- Ensure the firm's high standards of client care are met
- Ensure the confidentiality of all work undertaken for clients, and work within the principles of the Data Protection Act
- The 6 Individual Conduct Rules that apply to all persons working in financial services

Compliance:

- Comply with the FCA's Consumer Duty Principle, and other requirements set out in the company manual and processes
- To co-operate fully with Courtiers' Anti Money Laundering requirements
- To maintain records in accordance with Courtiers' compliance requirements as set out in its compliance manuals and procedures
- Work within the requirements of the Data protection policy

IT:

- To effectively use all the relevant IT facilities made available by the company
- To use IT facilities within the guidelines set out by Courtiers' IT Department

Employee:

- To work with and support other employees working within the various departments of the company
- Create and promote a positive working environment within which each individual feels they make a valuable contribution and knows how their success will be measured

Skills and Knowledge Requirements:

- Willingness to undertake study
- Ability to manage own workload and work within a small team
- Knowledge of business processes, standards, policies and procedures
- Experience within the Financial Services Industry with knowledge and understanding of FCA regulations
- Exceptional communication skills at all levels
- Excellent organisational skills
- Knowledge of Microsoft Word, Excel, Outlook and ideally IO, and Pulse dealing systems
- At least 4 years in a compliance role where some monitoring work has been undertaken,
- Ideally educated to degree level with a relevant industry qualification, such as CISI Investment Operations Certificate (IOC) or equivalent
- Strong industry experience only will also be taken into account
- Strong regulatory awareness
- Ability to work under pressure at times

Training:

- Take part in any relevant in-house or external training as required
- To attend relevant seminars and other presentations as appropriate
- To retain a record of personal CPD
- To attend any IA working groups or other industry working groups as appropriate