

## Job Description: Business Review Analyst

### Location

Office based: Witney, Oxfordshire or Newcastle-under-Lyme, Staffordshire

(6 months fixed term contract)

### Department

CISL Compliance

### Reports to

Head of CISL Compliance

### Role Purpose

The Business Review Analyst will strengthen CISL's governance and Consumer Duty framework by conducting structured reviews of client files, operational processes, and regulatory controls. This role is critical to ensuring compliance with FCA requirements, while supporting CISL's commitment to delivering fair client outcomes and strengthening regulatory confidence

### Key Responsibilities

Regulatory & Governance Reviews:

- Perform Consumer Duty outcome testing across advice and platform services.
- Support AML monitoring, including periodic file reviews and transaction sampling.

### Client File Audits

- Review client documentation for completeness, accuracy, and compliance with FCA rules.
- Validate advice suitability, disclosure standards, and adherence to regulatory requirements.
- Identify deficiencies in client records and escalate material findings promptly.
- Track and verify remediation actions to ensure timely resolution.

### Risk & Compliance Reporting

- Produce concise, actionable reports summarising file review outcomes for senior management and the Compliance Committee.
- Support FCA submissions by providing accurate data derived from file audits.
- Analyse trends in file review findings to identify systemic risks and recommend control improvements.

### **Continuous Improvement**

- Collaborate with stakeholders to strengthen file management processes and embed Consumer Duty principles.

### **Skills & Experience**

- Strong knowledge of FCA regulations.
- Experience in compliance monitoring, audit, or business review within financial services.
- Excellent analytical skills and attention to detail.
- Ability to communicate findings effectively and influence change.
- Proficient in Microsoft Office; experience with compliance monitoring tools advantageous.

### **Qualifications**

- Degree in Finance, Business, or related field (or equivalent experience).
- Professional qualifications (e.g., ICA, CISI) desirable.

### **Key Attributes**

- Integrity and discretion in handling sensitive information.
- Highly organised, proactive, and able to manage competing priorities.
  - Collaborative mindset with strong interpersonal and communication skills.