

Compliance Assistant ~ 35k (J1149)

Description

Compliance Assistant – Sandbach (J1149)

IFA Practice in Sandbach are recruiting for a Compliance Assistant to work alongside their Compliance Officer to support the smooth running of this professional practice.

The firm currently employ 23 staff across two offices, they have a very close team and a professional yet very friendly atmosphere. The team are all well qualified and experienced, and they are knowledgeable with regards to compliance and what is expected of them.

We are very interested to speak with individuals who have compliance, paraplanning or advisory experience.

This is a technical administration/support role, and is pivotal to the high quality service that the business prides its self on.

Responsibilities

The successful applicant will be responsible for supporting a wide range of compliance matters, including;

- Pre-Sale file reviews
- Keeping up-to-date with regulatory developments.
- Advise senior management in a timely manner of FCA related and other regulatory issues/Any changes to the FCA rules.
- Ensure the firm continues to meet its threshold conditions at all times.
- Produce an annual compliance report for senior management.
- Manage the firm's relationship with the FCA.
- Ensure that the firm can respond in a timely basis to requests for information from the FCA.
- Make all appropriate notifications to the FCA (relevant notifiable changes).
- Comply at all times with the firm's Compliance and Training & Competence procedures.
- Comply at all times with the requirements of the Financial Services and Markets Act 2000, and the FCA Principles, Code of Practice for approved persons and rules
- Compliance Monitoring
- Systems and Controls
- Complaints Handling
- Financial Promotion
- Recruitment
- Training & Competence
- Approved Persons

Qualifications

- CII/Financial Planning qualifications or working towards

Employment Type

Full Part/Time/Flexible Work Hours.

Beginning of employment

ASAP

Duration of employment

Permanent

Industry

Financial Planning

Working Hours

Full Time (Flexible start/finish)

Base Salary

£ 26,000 - £ 35,000

Date posted

July 9, 2020

Valid through

09.09.2020

Experience

IFA Compliance, paraplanning or advising experience is essential.

The successful applicant must have a very strong eye for detail and accuracy.

Job Benefits

- Up to £35,000
- Flexible hours
- Full/Part Time
- Company Pension
- Qualifications supported

Contacts

For further information please use the details below, or apply in confidence using the 'Apply Now' button.

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