



Job Title : Compliance Manager

Minimum Starting Salary: £45K -£65K dependent on experience

Department: Regulatory Compliance Team

Reports To: Senior Compliance Manager

Based: Salisbury

Job Purpose:

High level statement summarising the role

The Compliance Manager will assist the Senior Compliance Manager in all aspects of Compliance arising within the James Hay Partnership. This role, based in our Salisbury office, will sit within the James Hay Partnership Compliance team ultimately reporting via the Head of Risk & Compliance to the Chief Finance Officer.

Role Dimensions:

Number of staff, IFAs/clients, £ budget responsibility, business targets , funds under management etc.

As part of IFG Group, James Hay Partnership is one of the largest Investment Platforms in the UK, with £20 Bn. funds under management. Post holder has no staff responsibility but will represent the Senior Compliance Manger at meetings from time to time.

Structure:

Organisation chart showing role reporting line



Key Responsibilities and Accountabilities:

Demonstrate the outline requirements of the role

- Act as the alternate for the Senior Compliance Manager, including pertinent committee meeting attendance and new product initiative discussions.
- Preparation of departmental MI for JHP Board reporting, Executive Committee and other key governance committees as appropriate.
- Responsible for the review & sign off of literature items against FCA Financial Promotions rules - experience of some or all of: SIPPs and/or platforms required.

JOB DESCRIPTION

- Responsible for the review & sign off of client facing operational letters to ensure fair, clear and not misleading
- Responsible for the review & sign off of "requests for information" responses to IFA firms requesting information regarding James Hay Partnership and our product ranges to ensure response is fair, clear and not misleading.
- Review of breaches - and identifying whether the breach would be classified as reportable to the FCA.
- Supervision & development of the Compliance Officer role that primarily undertakes the financial promotions reviews.
- Regulatory Horizon Scanning - monitoring for, summarising and tracking the implementation of applicable regulatory developments that will impact the JHP businesses via excellent summary papers and liaison with the JHP Change process.
- Representing Compliance at key project meetings to implement propositional and/or regulatory change into the business.
- Development & drafting of new compliance policies and the review/ updating of existing policies in line with IFG Group policies and regulatory requirements..
- Some traveling to other offices of the James Hay Partnership in the UK may be required periodically.

Key Accountabilities

- To be accountable for the department's compliance with all company policies and procedures, ensuring that all team members work within these and the Risk and Governance framework and to be responsible for any comply with the Company's Training and Competency Scheme requirements.
- To manage, monitor and report operational risks appropriately on a regular basis, minimising reputational damage and costs; including up to date Business Continuity Plans and Department Risk Registers
- To ensure the Principles of Treating Customers Fairly (TCF) are adhered to at all times.

Skills, Knowledge and Experience:

Education/Qualifications, Experience, Specific technical/personal skills, Attributes, Special circumstances e.g. car driver, heavy lifting

Essential

- Good knowledge of FCA/Compliance regulations and requirements – in particular COBS and CASS Handbooks.
- Knowledge of SIPP and/or platform structures and associated products.
- Excellent attention to detail
- Ability to work on own initiative where required
- Good presentation skills
- Self-motivated and organised
- A flexible and proactive approach with the ability to work under the pressure of deadlines
- Excellent knowledge of Microsoft applications including Word, Excel and Powerpoint
- Strong written and verbal communication skills

Desirable

- Ability to influence at all levels within the organisation
- Coaching skills
- Experience gained within the retirement wealth industry with strong product knowledge