

COMPLIANCE ADMINISTRATOR

PURPOSE:

Primary responsibility is to maintain compliance records and co-ordinate reporting requirements. There may be opportunities to grow the role as knowledge and experience develops.

RESPONSIBILITIES:

- Maintain compliance records including, inter alia, gifts and hospitality, complaints, errors, financial promotions, outstanding compliance issues etc.
- Produce timely, routine management information as specified by senior team members
- Assist the Operational Risk Manager in the collection and collation of data
- As agreed with the Compliance Policy & Intermediated Clients Officer execute agreed programmes within the risk based monitoring programme highlighting circumstances which may require action. These are likely to be routine timetabled elements of the programme
- Be responsible for handling requests for the disclosure of significant shareholdings and requests from third parties
- Co-ordinating compliance responses to external requests; e.g. due diligence questionnaires
- Attend meetings of relevant committees taking minutes and summarising actions taken and required

SKILLS:

- IT Literate – including good Excel & Database skills
- Time management and prioritisation
- Good written and oral communication skills
- Process discipline and attention to detail

KNOWLEDGE:

- A general awareness of the financial services industry and financial markets
- An appreciation of compliance principles

QUALIFICATIONS:

- No specific qualifications required at this stage but should be willing to study to achieve recognised industry examinations, initially relevant compliance modules but then extending to business activities

OTHER RELEVANT INFORMATION:

- Must be enthusiastic and keen to use initiative
- Flexible as to background but must be able to assess key risk factors to facilitate required escalation
- A can do approach is needed along with flexibility to provide appropriate support within the team as needed
- Likely to have some relevant experience and an understanding of key regulatory risks for a business operating in our areas.
- An appetite to develop knowledge and understanding of the business' activities and the regulatory environment to facilitate appropriate escalation of issues within the department will enhance development.

For more information call 0207 760 8777 or visit www.7im.co.uk

Seven Investment Management LLP is authorised and regulated by the Financial Conduct Authority and by the Jersey Financial Services Commission. Member of the London Stock Exchange. Registered office: 55 Bishopsgate, London EC2N 3AS. Registered in England and Wales No. OC378740.