

Compliance Adviser

Division/Department	Compliance
Reports to	Senior Compliance Manager
Responsible for	N/A
Direct reports	N/A

Role Overview

The Compliance Adviser works in the central compliance team and plans for and delivers high quality, timely and accurate regulatory advice and guidance in accordance with the standards expected by Compliance management and the IntegraFin Group (the 'Group'). This includes partnering with the business to support the implementation of new regulation, control and service enhancements and any potential remediation projects

Key Areas of Responsibility

Support the Compliance Department in delivering effective regulatory advice, oversight and regulatory change for the Group. The role will help ensure the business understands and meets its regulatory obligations by providing day-to-day guidance, supporting regulatory projects and change delivery, monitoring regulatory developments, contributing to management information and governance reporting, and assisting with regulatory correspondence, notifications and reporting.

Business Advisory & Regulatory Expertise

- **Advice and support:** Provide guidance to the business on regulatory matters and day-to-day compliance queries applicable to the Group and other firms in the distribution chain.
- **Subject matter expertise:** Proactively maintain regulatory knowledge for topics allocated by the Senior Compliance Manager and act as a point of reference as required.
- **Team support:** Provide help and guidance to other Compliance team members in relation to queries and thematic reviews.
- **Training and awareness:** Design and deliver regulatory training and presentations to support ongoing compliance awareness

Regulatory Change

- **Regulatory change / project support:** Partner with the business to support the delivery of regulatory change, including new regulation, control and service enhancements, and any potential remediation activity.
- **Horizon scanning:** Review and analyse regulatory publications and prepare clear summaries and impact considerations for management and key stakeholders.
- **Consultations and policy input:** Contribute to relevant internal and external consultations, discussions and policy debates where required

Regulatory Engagement, Notifications & Records

- **Regulatory correspondence and engagement:** Assist with coordination of communications with regulators, including drafting correspondence, preparing supporting documents, and tracking actions and deadlines.
- **Regulatory notifications and reporting:** Support the coordination and submission of regulatory notifications and returns in a timely manner, ensuring appropriate records and evidence are maintained.

- **SM&CR support:** Support end-to-end coordination of SMF and Certified Person applications, including drafting submissions, collating supporting evidence, and tracking progress to completion.
- **Regulatory records:** Maintain accurate and complete regulatory records (internal and external), including updates to the FCA Register where applicable.

Governance, MI & Management Reporting

- **Management information (MI):** Contribute to MI relating to regulatory projects, regulatory developments and key regulatory issues.
- **Governance / committee reporting:** Contribute to timely and effective reporting to Boards, Committees, Forums and Compliance Management on compliance activity and projects

Education and Knowledge Requirements

Essential	Desirable
<ul style="list-style-type: none"> • Educated to Degree Level. • Good understanding of UK financial services industry • Ability to apply FCA and PRA rules and guidance particularly those relating to COBS, product governance and consumer duty. • Good Excel, Word and PowerPoint skills. 	<ul style="list-style-type: none"> • Compliance Diploma or equivalent legal, compliance or financial services qualification <p>Knowledge of some of the following:</p> <ul style="list-style-type: none"> • UK platform industry • Onshore and offshore investment bonds • Transaction reporting • Agent as client • Model portfolios • Suitability • Structured products • Vulnerable clients • UK Solvency • MiFIDPRU

Experience Requirements

Essential	Desirable
<ul style="list-style-type: none"> • Minimum of 3 years' experience of working in financial services investment or fund management sectors preferably in Compliance or Regulatory roles. • Compliance advisory at a retail investment firm or pension provider. 	<p>Some of the following experience:</p> <ul style="list-style-type: none"> • Platforms • UK regulators • Regulatory relations/engagement experience • Regulatory projects • Consultancy • Trade body or industry working group • Compliance monitoring • Fund management

Attributes

- Excellent oral and written communication skills
- Ability to work under pressure and meet tight deadlines.
- Sound judgement and analytical skills
- Conscientious, and with excellent attention to detail.
- Methodical and logical approach
- Calm and measured in approach and able to influence effectively
- Able to engage with senior managers confidently and in an appropriate manner
- Able to manage competing priorities well
- Strong technical knowledge and commercial awareness

- Ability to form and nurture strong relationships
- Good planning and organisational skills.

Competence Requirements

Working with others (level B)

Works collaboratively with others to achieve common goals

Impact and influence (level B)

Builds rapport, uses persuasion and influence to obtain support and buy-in for activities to the benefit of the business

Leadership (level A)

Demonstrates an ability to drive, motivate and inspire both self and others to achieve goals

Developing self and others (level A)

Develops self and others, showing a genuine interest in helping others reach their potential

Achievement orientation (level C)

Works to achieve results and improve individual and company performance through what they do

Customer orientation (level B)

Develops and maintains strong relationships with our customers and understands how this relationship is central to Transact's success

Relationship building (level C)

Builds mutually beneficial, collaborative, long term relationships both internally and externally

Planning and organising (level B)

Has ability to plan, organise and prioritise work

Innovation and continuous improvement (level B)

Seeks and uses ideas to continually improve performance or themselves and the business

Analytical thinking and decision making (level B)

Has ability to analyse, investigate and interpret information, issues and situations to make the right decisions in a timely manner

Financial and business awareness (level B)

Understands what Transact does and the business environment in which it operates

Accountability

As a financial services company we are bound by various rules and regulations. In this role you are particularly accountable for these areas:

Compliance and Risk

- Adhere to all processes and deadlines as required by the Group Compliance department in line with regulations.
- Understand the risks, control and governance requirements for the group and flag and escalate risks and error within your remit.
- Comply with all internal policies and procedures.
- Comply with the Individual Conduct Rules.

Training and Competence *

All of our staff are expected to acquire and maintain the desired level of competence for their role which requires them to have the skills, knowledge and expertise needed to discharge the responsibilities of their role. This may include Continual Professional Development (CPD).

You are required to:

- Undertake all training required for your role.
- Attend and participate in internal training courses as required by your role.
- Undertake continual professional development relevant to your role.
- Continue to maintain technical knowledge and contribute to the development of the knowledge of other team members.

* For definitions, please see the T&C Guide.

SMF Regulatory Responsibilities per SoR(s)

IFAL

Prescribed Responsibilities

- None

Overall Responsibilities

- None

ILUK

Prescribed Responsibilities

- None

Overall Responsibilities

- None