

<b>JOB DESCRIPTION – Compliance Assistant / Trainee</b>			
<b>Job Title:</b>	Compliance Assistant / Trainee		
<b>Reports to:</b>	Risk and Compliance Manager		
<b>Department:</b>	Compliance		
<b>Location:</b>	Manchester City Centre	<b>Date of Job Description</b>	01/06/2022
<b>Purpose of the role:</b>	<p>To assist the Company within the remit of the Compliance Function in the management of risk (and in particular regulatory risk) by undertaking analysis and monitoring and identifying areas for improvement.</p> <p>To provide advice and assistance to the relevant persons responsible for carrying out regulated activities in the ongoing development of policies and procedures, ensuring these are appropriate in light of the risk appetite and risk tolerance of the corresponding Company.</p> <p>To provide a level of independence and consistency in the consideration of complaints and disputes raised by clients and other third parties.</p>		
<b>Key Duties</b>	<p><b>(1) Compliance Monitoring and Assurance</b></p> <ul style="list-style-type: none"> <li>• Assisting the Risk and Compliance Manager and Compliance Monitoring Officer / Compliance Analyst in ensuring the appropriateness of the Company's overall Compliance Monitoring Programme taking account of internal risk assessments, external regulatory developments and the Company's business plan.</li> <li>• To provide assistance in other Compliance Reviews and Monitoring activities in accordance with the timetable set out in the Compliance Plan and Monitoring Programme.</li> <li>• Assisting in the reporting of the findings of all review and monitoring activity, where appropriate, identifying root causes / wider implications, making recommendations for change, agreeing any remedial actions, ensuring agreed remedial actions are carried out.</li> <li>• To provide assistance in collating ad hoc advice queries</li> </ul> <p><b>(2) Compliance Advice and Assistance</b></p> <ul style="list-style-type: none"> <li>• Assisting with research on risk and compliance related developments applicable to the Company, providing advice and assistance to the Directors, Managers, Committees, Other Groups and Staff in respect of the impact of those developments on each Company's policies and procedures.</li> <li>• Providing ad-hoc advice and assistance in respect of Compliance related queries received by the Compliance Function.</li> </ul> <p><b>(3) Complaints</b></p> <ul style="list-style-type: none"> <li>• Participating in the Complaints Handling Process, ensuring all complaints are dealt with in accordance with the companies' Complaints Handling policies, FCA regulations and the requirements of the respective Professional Indemnity Insurers.</li> <li>• Ensuring an appropriate level of communication with all parties, via telephone or in writing.</li> <li>• Assisting with resolving errors and other issues which may give rise to a "circumstance" under each firm's Professional Indemnity Insurance Policy, including where necessary, drafting and issuing correspondence, ensuring the fairness of any outcome and liaising with the Professional Indemnity Insurers (or their representatives).</li> </ul>		

	<p><b>(4) Additional Responsibilities</b></p> <ul style="list-style-type: none"> <li>Assisting in / contributing to the application process for Approved Persons, Senior Management Functions and Certified Persons. This will include ensuring that all regulatory requirements applicable have been met, including that certificate of fitness and propriety have been issued, and all record keeping requirements. <i>Note: Any decision about whether or not to issue a certificate of fitness and propriety is the responsibility of the Compliance Director.</i></li> <li>Assisting with all routine regulatory reporting via Regdata, ensuring that all required reports have been submitted in accordance with the applicable timetables.</li> </ul>
<p><b>Skills &amp; Experience</b></p>	<ul style="list-style-type: none"> <li>Interest in regulation</li> <li>Preferably some experience in a similar (compliance) role gained within the Financial Services Industry, preferably in the Financial Adviser sector</li> <li>Attention to detail with an understanding of internal control and management information systems</li> <li>Ability to build and maintain relationships at all levels of each business to drive change and deliver “continuous improvement”.</li> <li>A high standard of communication skills including formal report writing.</li> <li>High level of IT literacy and Microsoft Office packages in particular Excel.</li> </ul>
<p><b>General Duties</b></p>	<ul style="list-style-type: none"> <li>The principal roles and responsibilities will change from time to time and the post holder is required to undertake any additional duties as deemed appropriate.</li> <li>Staff are required to have a Personal Development and/or CPD plan and is expected to participate in training, meetings or conference considered relevant to their job.</li> <li>Staff must carry out their duties with full regard to the rules policies and procedures and conditions of service contained in the staff handbook</li> <li>To abide by the company’s policies and procedure</li> <li>To adhere to all health and safety legislation</li> <li>Represent the company in a professional manner at all times</li> <li><b>To undertake any other task that is deemed reasonable within their skill set</b></li> </ul>
<p><b>Education / Qualifications:</b></p>	<ul style="list-style-type: none"> <li>A Levels / higher education preferably</li> <li>CII Diploma in Regulated Financial Planning would be an advantage or another Accredited Body qualification e.g., CISI Introduction to Securities and Investments</li> </ul>
<p><b>Reward Package</b></p>	<ul style="list-style-type: none"> <li>Competitive Salary</li> <li>35 hours per week</li> <li>25 days holiday plus Bank Holidays</li> <li>Loyalty holidays with continued service.</li> <li>Additional 1-day holiday for Birthday</li> <li>Christmas Closure (need to retain 3 days from allowance)</li> <li>Quarterly bonus scheme (discretionary)</li> <li>Perkbox Scheme</li> <li>Pension (auto-enrolment, then 5% + 5% contributions after 12 months)</li> <li>Private Medical Insurance (after 12 months)</li> <li>Life Assurance</li> <li>Fully funded company social events – summer and winter</li> <li>Generous Study/Training Program</li> <li>Personal Development Plan; Quarterly 1:1 meetings and Annual Appraisal System</li> </ul>
<p><b>The Company</b></p>	<ul style="list-style-type: none"> <li>Pareto Financial Planning Limited was founded in 2008 and are an award-winning firm of independent financial advisers (IFAS), with an established reputation for dealing in all areas of financial planning.</li> <li>Winner of The Talk of Manchester Business Awards – Best IFA</li> <li>We value our people; now employing a team of more than 50. This has led to new clients and total funds under influence being more than £800 million.</li> <li>Training Academy ethos for those that want to develop their career. Company provides an excellent In-House training program for you to progress your career including a generous study scheme and Personal Development Plan.</li> <li>Great atmosphere, team spirit and thoroughly enjoyable working environment.</li> </ul>

	<ul style="list-style-type: none"><li>• Organised social events calendar for all who want to participate.</li><li>• Good work/life balance structure in place.</li><li>• Dedicated to various charities throughout North West.</li></ul>
<b>To Apply</b>	<ul style="list-style-type: none"><li>• <a href="mailto:careers@paretofp.com">careers@paretofp.com</a></li></ul>