

Job Title: Compliance Associate, Investments

Role: Permanent

Reports to: Director, Investments

Location: Hybrid – Minimum 2 days per week in London

Thistle Initiatives Group is a multi-award-winning organisation which offers a range of services and products to financial services firms, helping our clients through the twists and turns of the ever-changing regulatory landscape. The group consists of four separate entities: a regulatory consultancy, a Principal firm with appointed representatives, a specialist insurance brokerage and a compliance technology platform.

Thistle Initiatives, our regulatory consultancy, provides expert compliance advice and support right across the financial services sector. Our clients range from niche start-ups to long-established market leaders covering the following verticals: Investments, Payment Services, Financial Crime, Credit and Fintech.

This role offers a fantastic opportunity to elevate your career in financial services. It provides a unique opportunity for the right individual to take advantage of developing a career with Thistle in delivering a range of financial services compliance solutions for those firms regulated by the FCA.

Key Responsibilities:

- Assisting with the development of compliance policies and procedures
- Assisting reviewing Financial Promotions
- Undertaking check the checker role – file and call monitoring
- Compilation of reports on request
- Undertaking specific projects as required
- Providing general administrative support to the compliance team
- Maintaining/updating systems and databases
- Generating and reviewing MI on a regular basis, highlighting any trends with a course of recommended action to Management
- Keeping up to date with the FCA and Industry sources to assist with providing the firm with regular updates
- This role is not limited to the above duties, due to the nature of the market you will need to be adaptable and open to change in this position

Competencies:

Behavioural

- Commercial Awareness: must be mindful of the commercial objectives of the firm when delivering compliance assistance
- Commitment & enthusiasm: should have a desire to see the firm succeed
- Embraces change: should be adaptable to the changing requirements of the regulations and be keen to develop new skills

- Communication skills: should be able to communicate openly and effectively, both internally and externally, in order to deliver the requirements of the regulations
- Personal Credibility: must be able to establish and maintain trusting relationships with others
- Team working: fosters effective and productive working relationships. Should be considerate to the needs and opinions of others
- Individual working: must be able to work under own initiative identifying when referral needs to be made
- Pro-active – must actively seek other tasks if successfully completed one task

Technical

- Attention to detail: all work must be completed with the focus on quality and accuracy
- Time management: must be able to prioritise and manage time and tasks effectively; this includes a readiness to delegate where possible
- Technical skills: Intermediate MS Excel, MS Word and PowerPoint
- Problem Solving: demonstrates an ability to solve problems in a rational manner
- Application of regulation: must gain and maintain a detailed understanding of FCA regulation and be able to apply this to the business requirements of the firm
- Understanding: demonstrates an awareness of the immediate and the wider implications when applying regulation in practice
- Planning & organising: organises and plans effectively

Experience/Qualifications

- Relevant Financial services background and experience not essential but would be an advantage
- Educational attainment at degree level not essential but would be an advantage
- Demonstrable a very good standard of Maths and English literacy

Key Deliverables (Objectives)

- High, consistent accuracy and meeting the defined target in respect of the check the checker role
- Provides clear, consistent advice if referral made from newer colleague
- Completion of correct assessment of a financial promotion with limited support
- A high degree of accuracy in completing any documentation, especially client documentation
- Provides good, clear reports
- Demonstrates ability to manage and prioritise workload
- Keen to accept new challenges and committed to personal development including professional qualifications

We offer

- Hybrid working – 2 days office / 3 days home allowing flexibility for work/life balance
- Funding towards further qualifications within the relevant sector
- Company pension contributions scheme
- Company funded Private Medical and Life Insurance
- Gym membership contributions
- Fantastic City of London location in a bright, airy and modern office with great views