

Job Title Compliance Manager/Senior Manager – Investments

Contract Permanent

Hours 35 hours per week

Reports to Partner, Investments - Wholesale

Location Hybrid – Minimum 2 days per week in London

Job summary:

Thistle 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.

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, Mortgages, Insurance and Digital Assets.

We have a fantastic opportunity for the right individual to take advantage of developing a unique career with Thistle Initiatives. Currently experiencing rapid growth, Thistle are looking for an experienced individual to join the Investments Wholesale Team, to be responsible for delivering a range of financial services solutions to its clients. The individual will need to demonstrate independence of thought, a willingness to challenge where appropriate, be able to work within the Investments team, be pro-active and establish effective client relationships.

The individual will also need to be able to promote and sell the services of Thistle Initiatives to both new and existing clients, as well as attend and participate at conferences, webinars and other marketing functions.

Key responsibilities

Responsibilities are wide-ranging and varied, given the exciting projects we work on. We are keen to speak to people with a passion for problem solving, building products, mentoring and growing success teams, and delivering high quality outputs.

- Keeping up to date with regulatory requirements applicable to the Thistle Initiatives client base and ensure timely implementation of changes including updates to policies and procedures
- Maintaining an up-to-date knowledge and understanding of regulatory policies, including, Financial Crime Prevention, Market Abuse, Conflicts of Interest, Personal Account Dealing, Inducements, Financial Promotions and Training and Competence and the other areas applicable to AIFMD and MiFID firms
- Self-starter attitude to completing client work and delivering high-quality client service levels, as well as mentoring junior team members to do the same.
- Supporting the Partner in the delivery of client projects, including oversight, task delegation and quality assurance.
- Responsible for the oversight of the team and for the smooth running of client projects in the absence of the Partner.

- Undertaking client audits, including reporting and making recommendations relating to address any areas of concern.
- Support the Partner to build, manage and motivate a team of highly skilled compliance professionals to ensure delivery of compliance solutions to the Group's clients
- Multitasking and managing multiple client projects at any given time.
- Ability to work under pressure, with tight turn arounds and with consideration for regulatory or client deadlines.
- Understanding the principles of utilisation, working on client projects as efficiently as possible within the scope provided. Being accountable for own time management and that of the junior staff on a project.
- Strong client relationship and key account management, becoming their trusted advisor.

Behavioural Competencies

- Excellent communication skills to communicate openly and effectively, both internally and externally, to deliver the requirements of our client firms, with the ability to adapt to different audiences.
- Exceptional attention to detail
- Commercial awareness to be mindful of the commercial objectives of the firm when delivering compliance assistance.
- Commitment and enthusiasm with the desire to see the firm succeed.
- Ability to embrace change and be adaptable to the changing requirements of the regulations and be keen to develop new skills accordingly.
- Personal credibility with ability to establish and maintain trusting relationships with others.
- Team working skills that foster effective and productive working relationships to be considerate to the needs and opinions of others.
- Proactive attitude to actively seek new tasks and have a growth mindset.
- Self-driven with the ability to act as a team player.
- Determined attitude with the resilience and tenacity to manage projects from start to finish.
- Must be able to work autonomously and take initiative, identifying when referral needs to be made.
- Excellent written communication skills with the ability to draft written communications and documentation in an articulate way and to a high standard.

Technical Competencies

- Must have a detailed understanding of the financial services wholesale sector, ideally including but not limited to the Hedge Fund and Private Equity sector and be able to apply knowledge of applicable regulation to the business requirements of our clients.
- A working knowledge of; MiFID II, AIFMD, fund administration, short selling, SM&CR, Market Abuse, MLR's, SFTR, EMIR, and on/off shore fund establishment.

Experience/Qualifications

- Relevant Financial services background and experience essential
- Certificate/s in financial investments such as the CISI IOC or equivalent qualification beneficial
- Diploma/s in financial investments such as the CISI IAD, PCIAM or equivalent or working towards qualification beneficial
- Diploma in Investment Compliance, equivalent or working towards qualification

- Educational attainment at degree level useful but not essential

We offer

- Competitive salary and the ability to grow your career within the Thistle Initiatives Group
- 25 - 30 days holiday entitlement depending on length of service
- Company pension scheme
- Private Medical Insurance
- Gym membership contribution
- Fantastic City of London location and working environment
- Working with dynamic teams with regular social events

If you are looking to springboard your career to the next level and would like to be part of a supportive and dynamic culture, then please apply.