

- **Job Title:** Manager/Senior Manager
- **Contract:** Fixed Term Contract (12 months)
- **Reports to:** Partner - Investments Team
- **Location:** Hybrid, minimum two days per week in London

The Company

Thistle Consulting, formerly Thistle Initiatives, is the alternative consultancy for financial services. We are the award winning specialists helping firms navigate regulatory change, transform their businesses, and meet their strategic growth objectives.

By combining deep sector expertise with practical delivery experience, we support firms across regulatory compliance, business transformation, financial crime, and M&A services. Our partnership led approach embeds best practice and compliance into the way businesses operate, enabling sustainable growth in fast changing markets.

Founded in 2012 and part of the Thistle Group, we support ambitious firms across investments and wealth, payment services, digital assets, insurance, banking, and credit. Our team of more than 80 consultants, former regulators and lawyers, and industry practitioners combines subject-matter expertise with commercial understanding, helping clients grow with confidence in a complex and changing environment.

Role summary

We have an excellent opportunity for an experienced compliance professional to join our Investments Team on a 12-month fixed-term contract, providing additional senior-level support across client delivery and project management.

The Investments Team Manager will play a key role in delivering high-quality regulatory compliance advice and practical solutions across wealth management M&A due diligence engagements. The role will involve conducting detailed regulatory due diligence reviews of wealth management, financial planning, discretionary management and pensions businesses; reviewing client files to assess quality, compliance and adherence to regulatory requirements; and identifying any risks, issues or remediation actions arising from those reviews. The successful individual will assess the potential financial, reputational and regulatory impact of identified shortcomings and produce clear, evidence-based findings reports with practical recommendations to mitigate risk. Working independently to tight deadlines, they will take ownership of high-quality outputs while collaborating effectively with wider project teams and senior stakeholders where required.

Role purpose

The purpose of this 12-month fixed-term role is to strengthen the Investments Team's capacity to deliver complex, time-sensitive regulatory engagements, with a particular focus on M&A due diligence across the wealth management, financial planning, discretionary management and pensions sectors. The successful individual will provide experienced, hands-on support throughout the engagement lifecycle, from scoping and evidence review through to file checking, risk assessment and the production of clear, commercially focused findings and



recommendations. Working closely with the Partner, Senior Managers and wider project teams, they will help coordinate activity, maintain consistently high standards of quality and client service, and ensure that key regulatory, financial and reputational risks are identified, communicated and addressed within agreed timescales. The role will also contribute to the effective delivery of broader regulatory services, provide guidance and oversight to junior colleagues where required, and build trusted relationships with clients and senior stakeholders through pragmatic advice, sound judgement and dependable delivery.

Key responsibilities:

- Keeping up to date with regulatory requirements applicable to the Thistle Consulting Investment Team client base and ensuring timely implementation of changes including updates to policies and procedures.
- Maintaining an up-to-date knowledge and understanding of FCA regulation, including, Suitability, Governance, Market Abuse, Conflicts of Interest, Personal Account Dealing, Inducements, Financial Promotions and Training and Competence and the other areas applicable to primarily MiFID and non-MIFID wealth management firms, SIPP operators and, where relevant, SSAS administrators.
- Completing client work and delivering high quality client service levels, as well as mentoring junior team members to do the same.
- Supporting the Partner and Senior Managers in the delivery of client projects, including oversight, task delegation and quality assurance.
- The oversight of junior team members and smooth running of client projects in the absence of the Partner.
- Undertaking client audits, including reporting and making recommendations to address any areas of concern.
- Multitasking and managing multiple client projects at any given time.
- Strong client relationship and key account management, becoming their trusted advisor.

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.

Experience and technical knowledge

- Significant experience across wealth management, financial planning, investment management and pensions businesses.
- Demonstrable experience supporting M&A and regulatory due diligence workstreams, ideally involving wealth management or IFA acquisitions.
- Up-to-date knowledge of the FCA regulatory framework and relevant industry best practice.
- Strong analytical, report writing and documentation skills, with the ability to present clear, evidence based findings and recommendations.
- Proven ability to work autonomously, prioritise competing demands and deliver multiple reviews within agreed timescales.
- Practical knowledge of FCA reporting requirements, Consumer Duty, investment and pension advice suitability, client outcomes, record keeping and conduct risk.



- Experience reviewing investment, pension, retirement and discretionary management advice files.
- Experience of investment operations, including trade execution, monitoring and/or regulatory reporting.
- Previous experience in consulting, compliance monitoring or regulatory assurance.
- Level 4 Diploma qualified, or an equivalent relevant professional qualification.

Skills and behaviours

- 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 regulatory requirements and be keen to develop new skills accordingly.
- Personal credibility with ability to establish and maintain trusting relationships with 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.

What we offer

- Competitive salary and benefits package.
- 25 days' holiday entitlement and company pension scheme.
- Hybrid working with a City of London base.
- Supportive team culture 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 immediately.