

**Job Title:** Compliance & Supervision Manager

**Contract:** Permanent

**Hours:** 35 hours per week

**Reports to:** Managing Director

**Location:** London/Remote

## **Job summary:**

Resolution Compliance Limited is a regulated network and is authorised and regulated by the Financial Conduct Authority and is part of Thistle Initiatives Group of companies.

The Compliance & Supervision Manager will be responsible for delivering a range of compliance and supervision solutions to Appointed Representative firms through its regulated principal firm, Resolution Compliance. The individual will need to demonstrate independence of thought, a willingness to challenge where appropriate, be solution led, able to work collaboratively within a team and be pro-active.

## **Key Responsibilities:**

- Advising senior business stakeholders on the firm's regulatory obligations and how they should be met in respect of retail investment platforms along with the firms associated monitoring and reporting responsibilities
- Draft policies, procedures and reports as required
- Produce internal and external reports on FCA policy
- Plan schedule and undertake supervisory visits of appointed representative firms
- Provide detailed audit reports and feedback to Senior Management
- Ensure required audit actions are tracked to completion
- Responsible for the implementation of any requirements of FCA rules and regulations relating to appointed representative firms
- Documenting and implementing any changes to the governance plan/activity in line with the FCA rules and regulations
- Provide ad hoc compliance advice
- Support the Financial Promotions approval process
- Support Ad Hoc projects
- Provide a technical helpdesk function to the firm
- Identify and recommend technical skills training where judged appropriate by you
- Willingness to qualify up to Advanced Diploma and Fellowship level
- Maintain an up to date knowledge and understanding of regulatory policies, including, Financial Crime Protection, Conflicts of Interest, Personal Account Dealing, Inducements, Financial Promotions and Training and Competence
- 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

## Technical

- Application of regulation: must have a detailed understanding of FCA regulation and be able to apply this to the business requirements of the firm. Working knowledge of HMRC, ICO, JMLSG regulations and guidance would be highly beneficial
- Technical Knowledge: experience in MiFID II Trade and transaction reporting together with practical knowledge of the Market Abuse Regulation Regime would be highly beneficial
- Problem Solving: demonstrates an ability to solve problems in a rational manner
- Attention to detail: demonstrates an awareness of the immediate and the wider implications when applying regulation in practice
- Planning & organising: effective manager of time and detail, logical approach and good record-keeping essential
- Time management: must be able to prioritise and manage time and tasks effectively; this includes a readiness to delegate where possible

## Experience/Qualifications

- Understanding of FCA handbook specifically SYSC, COBS, CONC, SUP and DISP
- QCF level 4 or working towards
- Background of audit, monitoring or supervision of regulated investment firms
- Developing and maintaining strong relationships with all relevant stakeholders
- Systems and process experience in either front or back-office and understanding of the trade lifecycle would be beneficial

## Desired Experience

- Interpreting and applying UK and International regulations

## 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