

Forward thinking
Straight talking



Senior Compliance Officer

JOB SPECIFICATION

Gateley /

POSITION:	Senior Compliance Officer
LOCATION:	Birmingham
CONTRACT TYPE:	Permanent

The *role*

As our Senior Compliance Officer, you will work closely with colleagues in our Professional Regulation & Standards team to promote best practice standards across our business and compliance with applicable regulatory obligations.

Reporting to the Head of Professional Regulation & Standards, you will support our regulatory role holders and the wider business in promoting a culture of high ethical conduct to minimise risk, and to improve standards and awareness.

Working with colleagues, you will be proactively mitigating regulatory risks by providing advice, supporting on training initiatives, updating policies, conducting audits and answering queries.

Key responsibilities include providing support to our COLP and COFA by:

- Keeping our policies, controls and procedures compliant and relevant.
- Supporting our regulatory role holders in meeting their legislative and regulatory responsibilities.
- Assisting the wider business (both client facing and business support) in understanding and meeting their regulatory obligations.
- Providing advice on queries involving regulatory issues including conflicts of interest.
- Building and maintaining relationships with colleagues across the business to promote and embed a culture of compliance.
- Escalating issues and concerns to the wider Professional Regulation & Standards team and sharing ideas and solutions to mitigate risk.
- Performing specific auditing tasks, file reviews and reporting findings.
- Preparing training materials, bulletins and communications to the business to promote best practice.
- Helping to maintain accurate records and registers to evidence risk-mitigation and decisions involving regulatory matters.
- Supporting with preparation of meeting agendas, information packs and minutes.
- Providing advice to our business acceptance teams and Internal Audit function, as necessary.
- Maintaining current knowledge of the various legal and regulatory requirements applicable to our business.

The *team*

At Gateley we provide a wide range of legal and professional services and are trusted to operate our business in line with high professional and ethical standards. Compliance with legal and regulatory requirements, underpins everything we do. Responsibility for maintaining regulatory compliance and managing risk is shared by everyone

in our business. We have a dedicated Professional Regulation & Standards team to support our people with regulatory issues and concerns.

Our Professional Regulation & Standards team is growing to support a broad range of business activities and client services. The team is made up of individuals who are motivated and ambitious to develop its proposition and is looking for like-minded colleagues to work with.

The *person*

Candidates will be able to demonstrate the following attributes:

- A minimum of two years' experience of working in a regulatory role within a professional services business or with a relevant regulator (e.g. law firm, surveying business or other relevant regulator);
- Excellent oral and written communication skills, with the ability to produce clear, well-drafted communications and documents;
- Excellent organisational skills, with the ability to prioritise and also be flexible, and work to tight deadlines whilst maintaining high standards and attention to detail;
- Well-developed collaboration skills;
- Strong IT skills (Excel, Visio, Powerpoint, High Q etc);
- Excellent knowledge of legal and regulatory requirements applicable to professional services businesses;
- Ability to deal with confidential, sensitive information with trust and integrity.
- Ambitious for success, with a strong sense of initiative, a positive 'can-do' attitude and willingness to learn.

The *benefits*

With support, coaching and feedback from some of the most engaging colleagues around our great development and progression opportunities will reward your commitment and loyalty. We offer a competitive remuneration package where you'll be rewarded for your individual performance with an opportunity to receive an annual bonus.

In addition, we have a wide range of learning and development opportunities via our Learn platform to develop new skills and progress your career. Our My Flex comprehensive rewards package includes options covering annual leave (and the benefit of purchasing extra days), cycle to work, critical illness benefit, employee assistance programme, group personal pension, health care, season ticket loan and many more benefits (grade dependent). Finally, with Perks At Work/Home you can select a host of retail benefits that suit your needs alongside a Community Online Academy, free courses for all from fitness to coding to languages to hip hop dance.

We are *Gateley*

We are forward thinking and straight talking, our approach is to find solutions to the problems that our clients face. Gateley is a legal and professional services group, we are a group of formidable experts in all areas of law

and business. Passionate problem solvers, we get our kicks from finding the right answers and getting our legal and business clients where they need to be. We support more than 5,700 active clients, ranging from FTSE 100 companies to private individuals, in the UK and beyond. Being part of Gateley is not just about the expertise that you bring; it's about attitude too.

The 'Gateley Story' is the story of our people and our culture. It is what has got us to where we are today as a successful business and it's the driving force behind the Gateley Team Spirit and the values that have shaped it. We have a set of shared internal values that capture what the Gateley Team Spirit is and this includes five elements that bind us all together as one Gateley: Ambitious for Success, Forward Thinking, Room to Breathe, Trusted to Do and Working Together. Every year across the group, we recognise members of our team that have gone and above and beyond and have lived these shared values. They are recognised at our annual Gateley Team Spirit awards.

Diversity, inclusion and well being

Diversity, inclusion and well being is an important part of Gateley's culture and values. We recruit talented people from a diverse range of backgrounds and cultures, providing equal opportunities for all to join our team regardless of age, sex, race, sexual orientation, disability, or culture.

We create an exciting and rewarding place to work that aims to fulfil everyone's potential and together to achieve personal and business goals. We offer flexible working patterns to help our staff achieve a good work/life balance and we encourage candidates seeking flexibility in their next role to apply for any of our vacancies.

We are proud to have been recognised by The Law Society as gold standard for our Diversity and Inclusion Charter and to be Stonewall Diversity Champions.

Additional Information

If you are successful in receiving an offer of a role with our company a variety of pre-employment screening checks will be completed. Our screening checks can include but are not limited to your eligibility to work, professional and academic qualifications, any criminal records, your financial stability and references from previous employers. The screening that takes place will be relevant to your role and will vary from role to role.



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