

A photograph of four people (three men and one woman) walking down a modern, white staircase with a metal mesh railing. They are dressed in business-casual attire and appear to be in conversation. The background shows a bright, modern interior with wooden ceiling beams.

Forward thinking
Straight talking

Senior Compliance Officer

JOB SPECIFICATION

Gateley /

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

As our Senior Compliance Officer, you will work closely with members of our Professional Regulation & Standards team, regulatory role holders and colleagues across the business to foster a culture of compliance, ethical conduct and professional excellence.

Reporting to the Director of Professional Regulation & Standards, you will proactively support the management of regulatory risk by providing clear and pragmatic advice to colleagues, developing training and awareness initiatives, maintaining policies and procedures, supporting with regulatory reports, undertaking audits and file reviews; and responding to compliance queries.

Key responsibilities:

- Review, develop and maintain policies, controls and procedures to ensure they remain compliant, effective and aligned with business needs;
- Work with regulatory role holders to support them in complying with their statutory, regulatory and governance responsibilities;
- Provide expert advice and guidance to colleagues across the business, helping them to understand and meet their regulatory and professional obligations;
- Advise on a broad range of regulatory and compliance matters, including complex conflicts of interest and ethical issues;
- Support investigations into regulatory matters, breaches, complaints and incidents, ensuring that appropriate records, reporting and follow up actions are maintained;
- Act as a trusted adviser to the central Business Acceptance team, advising on difficult client onboarding, due diligence and anti-money laundering queries;
- Build and maintain strong relationships with colleagues across the business to promote and embed a culture of compliance and best practice;
- Identify emerging regulatory risks, escalate issues where appropriate, and contribute to the development of practical solutions and risk mitigation initiatives;
- Plan and undertake compliance monitoring activities, audits and file reviews, producing high-quality reports and recommendations where required;
- Undertake file reviews or similar to assess compliance with our policies, controls and procedures;
- Develop training and guidance materials, regulatory updates and communications to promote compliance and best practice;

The *team*

We are providers of a range of professional services and must maintain the trust that our clients and the public place in us. Our compliance with legal and regulatory requirements, industry guidance and best practice underpins everything we do. Responsibility for risk management and compliance is shared by everyone in our business; this is a collective responsibility. We have a dedicated Professional Regulation and Standards team to support our people by providing guidance on regulatory compliance matters.

Professional Regulation and Standards is a growing team that undertakes a broad range of activities to support the business to operate within its regulatory frameworks. The team is motivated and ambitious, seeking to develop its proposition and attract like-minded individuals to work with.

The *person*

Candidates will be able to demonstrate the following:

- A minimum of two years' experience in a regulatory, risk or compliance role within a professional services business, regulator or comparable regulated environment;
- Excellent oral and written communication skills, with the ability to provide clear, practical advice and produce high-quality reports, guidance, policies and other written communications;
- Strong organisational skills, with the ability to manage competing priorities, work to tight deadlines and maintain a high level of accuracy and attention to detail;
- Well-developed relationship-building skills, with the ability to collaborate effectively and influence colleagues at all levels of the business;
- Excellent IT skills, including proficiency in Microsoft Office applications and experience of document management systems;
- A strong understanding of the legal and regulatory requirements applicable to professional services businesses (including the SRA framework), together with the ability to interpret and apply those requirements in a commercial environment;
- A proactive approach, with the confidence to challenge constructively at all levels, identifying areas for improvement and helping to drive positive change;
- Ability to deal with confidential, sensitive information with discretion and integrity;
- Experience of using iManage, Intapp and the 3E accounting system would be advantageous; and
- Ambitious for success, with a strong sense of initiative, a positive 'can-do' attitude and willingness to learn.

The *benefits*

You will receive support, coaching and feedback from engaging colleagues, together with great development and progression opportunities. We offer a competitive remuneration package that rewards individual performance including the 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 comprising formidable experts in all areas of law and business. As passionate problem solvers, we get our kicks from finding the right answers and helping our legal and business clients get 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 who have gone 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.



Gateley /