

A group of four professionals (three men and one woman) are walking down a modern, white staircase with a metal mesh railing. They are engaged in conversation and smiling. The woman in the foreground is wearing a green shirt and red trousers. The man next to her is wearing a red sweater and brown trousers. The man further back is wearing a grey shirt and dark trousers. The woman in the background is wearing a black and white checkered dress. The staircase is set against a wooden wall and ceiling.

Forward thinking
Straight talking

Compliance Officer

JOB SPECIFICATION

Gateley /

POSITION:	Compliance Officer
LOCATION:	Birmingham
CONTRACT TYPE:	Permanent

The *role*

Do you want to flourish in a forward-thinking, straight-talking environment? Do you want a role in a successful team where you will be surrounded by passionate problem solvers? Why wouldn't you? Being part of Gateley is not just about the expertise that you bring; it's about attitude too.

As our Compliance Officer you will work closely with colleagues in our Professional Regulation and Standards team to promote a clear understanding of regulatory compliance across our business.

Reporting to the Director of Professional Regulation and Standards, you will support your immediate colleagues and the wider business.

Key responsibilities:

- Contribute to the development, review and maintenance of our policies and procedures to ensure they remain effective and up to date;
- Provide practical compliance support and guidance to colleagues across the business, building strong working relationships and promoting a positive compliance culture;
- Support the business in identifying and managing professional conduct, regulatory and compliance issues, escalating matters where required and sharing recommendations and ideas;
- Assist with the review and resolution of conflicts of interest and client onboarding queries, liaising with the Business Acceptance team and stakeholders across the business as required;
- Support regulatory reporting, investigations, approvals and notifications where required;
- Maintain and update regulatory registers;
- Conduct file reviews, compliance monitoring, audit activities, and thematic reviews to assess compliance with internal policies, regulatory requirements and best practice;
- Undertake horizon scanning and prepare internal compliance bulletins, regulatory updates and other communications to raise awareness of emerging risks and regulatory developments;
- Develop and maintain an understanding of legal, regulatory and professional obligations applicable to the business, including requirements of the SRA, other legal regulators, the RICS and IPReg; and
- Maintain the highest standards of confidentiality and information security in respect of the business, its clients and its people at all times.

The *team*

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

The successful candidate will be able to demonstrate the following:

- Excellent oral and written communication skills, with the ability to prepare clear, concise and well-structured communications, guidance and reports for a range of audiences;
- Well-developed interpersonal skills with the confidence to engage with colleagues at all levels;
- 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;
- Strong analytical and problem-solving skills, with the ability to exercise sound judgement and identify practical, risk-based solutions;
- Excellent IT skills, including Microsoft Office applications (Word, Excel, PowerPoint) with the ability to learn and effectively use new systems, tools and technologies;
- Knowledge and understanding of the legal and regulatory requirements applicable to professional services businesses;
- Proven experience of working in a professional services business, and with policies, controls and procedures would be an advantage (law firm, surveying business) or with a relevant regulator;
- Practical knowledge of iManage, Intapp and the accounting system 3E would be advantageous; and
- 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 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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