

## **Compliance Assistant**

Reporting to: **Compliance Solicitor & Associate Director**

Salary: **Up to £20k p/a**

Anthony Philip James & Co Ltd, a Lexcel accredited and boutique law firm, specialising in financial mis-selling, is looking to recruit a Compliance Assistant to work at its Daresbury site to provide support to its Risk and Compliance function.

### **Key Purpose:**

To support the COLP, COFA and Compliance Solicitor managing all strategic, operational and regulatory risks that may arise within the Company.

### **Key Responsibilities:**

- Maintain central registers to support the COLP/COFA, in particular the material and non-material breaches register.
- Liaise with the quality manager/partners to ensure that the office manual is fully compliant with the practice's procedures.
- Ensure that there is adequate risk management training for all staff, particularly in relation to money laundering, data protection and information management.
- Collating employees' signatures to confirm training has been provided and storing these upon the Rilliance System.
- Ensure that the COLP/ COFA is supported in ensuring that there are appropriate systems in place for the reporting of risks and updating these periodically;
- Undertaking Due Diligence in relation to third parties, i.e. Company House, ICO, FCA checks on a monthly basis;
- Setting up and attending monthly Compliance Meetings with the COLP, COFA, Compliance Solicitor;
- Preparing Agenda and minutes for Compliance Meetings;
- Recording information upon the Rilliance Software System;
- Recording any complaints received upon the Rilliance system and providing support to the department in carrying out the Complaints Procedure.

### **Knowledge and Skills/Requirements:**

- A good understanding of the Civil Procedure Rules, Financial Products, Contracts and Consumer Law;
- Excellent communication skills
- Ability to work under pressure and prioritise workloads;
- Excellent time management organisation skills;
- Attention to detail;
- Effective in both written and verbal communication;
- Law Degree (or equivalent CILEx Level 3);
- LPC (or equivalent CILEx Level 6).
- Previous experience of 6 months or more in the legal sector to include financial or insurance products and/or Civil Litigation
- Confident telephone manner
- Ability to understand and digest legal terminology and action accordingly
- Ability to be able to self-motivate.