

Compliance Solicitor

Reporting to: **COLP & Associate Director**

Salary: **£30k - £40 dependant on experience 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 Solicitor to work at either its Daresbury or Manchester Office to provide support to its Risk and Compliance function.

Full Job Description:

Anthony Philip James & Co Ltd are recruiting a Compliance Solicitor to join the Risk and Compliance Team based in our Daresbury Head Office. You will be part of a successful team providing project assistance and support relating to Risk and Compliance matters across three offices based in the North West. You will continue the enhancement and implementation of operation risk policies and risk management systems across the firm.

Role Responsibility:

As a Compliance Solicitor your role will include:

- Reporting directly to the Compliance Solicitor (Associate Director) and COLP about the firm's compliance with the regulations and rules that apply to a firm as set out in the Solicitors Regulation Authority Standards and Regulations 2019, Code of Conduct for Solicitors and Firms.
- To assist the Compliance Solicitor (Associate Director) with the preparation of bi-weekly Agendas and prepare the draft Minutes of those meetings.
- Assist with the delivery of training on regulatory issues, i.e. anti-bribery, equality and diversity, data protection, Anti Money Laundering training.
- Updating and assisting with managing project plans within the department.
- Assisting with regulatory filing/document requests and arranging for documents to be notarised and apostilled.
- Escalate to the Compliance Solicitor (Associate Director) and/or COLP at the earliest opportunity all concerns, risks and issues which may impact the business' ability to comply with applicable rules and regulations.
- Maintaining the Rliance System ensuring all breaches, Data Subject Access Requests and risks are noted and routinely updated.
- Attending to any Data Subject Access Requests the company receives and ensuring they are responded to within the statutory timescales.
- Monitoring incoming emails received in the Compliance Helpdesk, prioritising and responding to those queries accordingly.
- Undertaking audits, including file review audits, telephone audits and providing feedback.
- Undertaking due diligence for any external agreements with third parties, including without limitation to, Company House Checks, FCA Permissions, Data Protection registration.
- Completing Monthly Monitoring Reports confirming significant issues, including financial reports, client care, file reviews and audits and any noticeable trends, complaints, risk issues, financial crime, undertakings etc.
- Assisting the Complaints Officer with Stage Three of any given complaint, ensuring full records are maintained on Rliance.
- Drafting Outsourcing / Joint Venture / Marketing Agreements, where required and submitting for the COLPs approval.

- Assisting with Solicitor Practice Renewals upon an annual basis.
- Providing assistance with any investigations undertaken by the Compliance Team.

Problem Solving and Decision Making:

- An awareness of the consequence, implications and risks of course of action proposed.
- Showing integrity, fairness and consistency in decision making.
- Making critical evaluation of arguments, assumptions, concepts and data and challenge constructively the status quo.
- Understand how to identify vulnerable clients, as per the SRA Codes of Conduct, and deliver training to staff so they may similarly identify such clients and provide appropriate support and noting any such clients upon the Risk Register.

Skills and Competencies:

- Trustworthy with the ability to display discretion when dealing with confidential and sensitive information.
- Good service ethic and strong communication skills.
- Proactive with an ability to anticipate problems and develop solutions whilst knowing when to seek assistance.
- Ability to remain calm under pressure and control multiple tasks.

Experience and Knowledge:

- Law Degree - Essential
- Legal Practice Course qualification – Essential
- Qualified Solicitor 3 years + PQE – Desirable
- Knowledge of SRA Account Rules – Essential
- Knowledge of SRA Code of Conducts for Solicitors and Firms – Essential
- Excellent in both written and verbal communication
- Excellent time management and organisation skills