



Post Title: Compliance Supervisor

Department: Compliance

Reporting to: Compliance Manager

Location: Head Office based in Horsham, with some travel throughout the UK

In Partnership is one of the UK's leading financial advice networks. From compliance to finance and business support, we assist our network in moving their business forward. In Partnership is proud that our advisers can provide a whole-of-market service to make the best product match for their clients.

Our Purpose: "We deliver high quality support to our staff, advisors, clients, and business partners to achieve good outcomes in all areas of the business and to meet regulatory requirements of the FCA"

Our Values: "Integrity, Professionalism, Consumer Focus, Partnership"

Main Function of Role: To assist in embedding a positive compliance culture across the On-Line Partnership Group Limited (The Company) and within its Networks, helping Firms deliver robust and repeatable best practices and to identify and mitigate risk. To be a point of contact for Member Firms and Field Compliance Supervisors of The Company and offer Compliance support to ensure their adherence to the Rules, Guidance and Procedures in place which govern the activities of regulated individuals and firms, helping to ensure a positive outcome is achieved for consumers.

This job description is designed to outline a range of main duties that may be encountered. It is not designed to be an exhaustive list of tasks and may be varied in order to reflect changes in the role, organisation or legislation.

Main Duties and Responsibilities:

1. To promote and always work towards In Partnership's policy of delivery of Client Best Interest outcomes.
2. To always ensure adherence to the In Partnership suite of policy and procedures, with distinct regard and compliance with the Conflict-of-Interest Policy and Inducement and Incentive policy.
3. To take responsibility for own performance and to identify personal development areas.
4. Assist the wider team and business with your knowledge on an ad hoc basis where business needs require.
5. Ensure awareness and compliance of regulatory responsibilities and ensuring that the consumer outcomes are at the core of our focus in all work we do.
6. To provide support to the Compliance Manager by conducting Focused Audits of the activities of individuals and firms where there is evidence of the Firm or Individual being of a risk to the Company arising from their activities.
7. To conduct Induction, Monitoring, Investigation, Remedial and Exit Visits on Firms using pre-prepared check sheets and any special instructions or directions agreed by the Compliance Manager according to individual circumstances, and accurately recorded outcomes on the in-house systems. These visits may be on site around the UK or conducted remotely from the Horsham office.
8. To review client files to confirm suitability and good consumer outcomes and adherence to regulatory and Company requirements and identify and require remedial action from members firms where necessary.
9. To identify any Breaches or Misconduct by firms and individual and report any training/compliance failures to the Compliance Manager.
10. To provide feedback and prepare action plans for firms and individuals following any audit and to complete a risk evaluation of everyone within the firm and an overall risk assessment of the firm based upon the findings of any audit.

11. To provide guidance to firms and individuals in setting up and maintaining good business and compliance practices and procedures, to include review and approval of financial promotions and the provision of technical support.
12. To provide feedback to other departments within The Company and to take remedial action to ensure that satisfactory relationships are maintained between the Company and the individual or firm.
13. To perform any role as required for the successful implementation of the On-Line Partnership Group Limited Compliance Plan.
14. To handle consumer complaints in a fair and non-biased manner, in accordance with regulatory requirements and in-house procedures, and to document these effectively to allow root cause analysis to support the continued improvement of consumer outcomes for The Company.
15. To undertake or lead project work where required by the Compliance Manager.
16. To maintain continual professional development and skills.

Skills / Qualifications

- Working knowledge of the FCA Rules.
- Awareness of the rules and regulations of other relevant bodies (e.g. JMLSG, FATF, ICO).
- Working knowledge of the On-Line Partnership Group Compliance Manual (training given).
- Progression towards Level 4 Diploma in Financial Planning.
- CII Financial Services Regulation and Ethics (R01) (desirable). Essential within 12 months of appointment
- Demonstrate sound analytical skills with high attention to detail.
- Demonstrate sound IT Skills, specifically Word Processing, Spreadsheets and Email.
- Demonstrate good report writing skills, including the use of plain English.
- Working knowledge of the financial services industry, products and risks.
- Working knowledge of a Compliant Sales Process and Disclosure requirements.
- QCA Level 4, 6 or 6+ qualification.

Person Specification

- Ability to work on own initiative as well as working effectively as part of a team; however, even more importantly is the willingness to adopt a flexible approach to the work undertaken.
- Demonstrate commitment by regular attendance and efficient completion of all tasks allocated.
- Carry out duties and responsibilities in compliance with health and safety policies and statutory regulations.
- Maintain high standards of personal accountability.
- Willingness to undertake training and progress personal development.
- A confident individual possessing a sound systematic and methodical approach to work while under pressure is essential.
- The ability to communicate at all levels, in person and in all media types, sensitively and effectively.
- Customer focused, understanding the views and needs of others.

Prospects

Whilst no guarantee can be given to subsequent promotion, In Partnership actively supports the training and development of its staff, which could provide the opportunity for career progression.

As a requirement of the Financial Conduct Authority's (FCA) Certification Regime, In-Partnership will carry out a pre-employment process to include pre-employment referencing, credit, and background (additional checks and information may be required for those at SMF). Information obtained during this process, and all subsequent data is deemed special category sensitive personal data and will be collected, processed and stored in line with the FCA's SMCR record keeping requirements.

In addition, In Partnership is committed to non-discrimination across the board, and in line with the Rehabilitation of Offenders Act (ROA) 1974.

We reserve the right to withdraw any offer of employment if relevant information during the pre-employment check process is omitted.
