

## Compliance Analyst – Cheltenham

Are you a graduate looking to start a career in Financial Services? Do you have excellent time management skills and high attention to detail? Are you looking to join a company that offers career development and an excellent benefits package? If so, please keep reading!

As a Compliance Analyst, you will provide support to the Risk and Compliance team, ensuring a robust framework is maintained at all times, and that the firm complies with existing regulations and internal policies.

We provide our advice and service through Attivo Financial Planning, one of the very few genuinely Independent, Chartered, Occupational Pension Specialist, financial planning firms in the UK.

We aim to deliver the most professional, technically competent, independent advice and service to our clients. We want to be seen as a leader in the financial planning sector, to help change the standing of financial planning to be recognised as a genuine profession and to ensure we, and the profession, contribute positively to society and the economy.

### Main responsibilities

- ensure that reporting obligations are maintained
- assist with quarterly report to the Regulatory Oversight Board detailing the progress of the firm's performance against the identified Conduct Risk metrics
- report all regulatory breaches and complaints, ensuring that current procedures and regulatory rules are adhered to when dealing with complaints
- provide input to reports for the Risk and Compliance Director and Regulatory Oversight Board where necessary
- maintain compliance documentation
- ensure that remedial work identified through internal and external audits is completed in accordance with the rating system
- ensure that monthly and annual forms for Financial Planners and Paraplanners are maintained in accordance with the Training and Competence Programme
- provide administration support to the Risk and Compliance Team as required
- provide support to the business on a range of issues including internal policy and regulatory supervision.

### Qualifications, skills and experience

- minimum 5 GCSEs graded A-B, including Maths and English
- educated to degree level would be an advantage (LLB preferable)
- studying towards the diploma in financial planning would be an advantage
- excellent communications skills, both written and verbal
- ability to build and maintain excellent working relationships within a professional team
- strong organisational and time management skills
- ambitious and self-motivated, with the desire to take industry examinations

### Salary and benefits

£20,000 depending on experience and qualifications.

Attivo Group also offers:

- excellent company benefits package including a non-contributory Pension Scheme, Private Medical Insurance, Income Protection, Critical Illness and Death in Service
- generous holiday allowance
- corporate gym membership

- parking allowance for employees who live over 1.5 miles away from the office (Cheltenham only)
- regular company social events
- charity days
- excellent culture, promoting employee wellbeing and engagement.

### **How to apply**

For further information, please get in touch. To apply for this role, please email your CV along with a covering email or letter to [careers@attivogroup.co.uk](mailto:careers@attivogroup.co.uk).

### **Privacy Policy**

If we have received your details in response to a recruitment initiative, we will store the personal information that either you, your recruitment agent or another third party has provided us with. We process that information because it is in our legitimate interests to do so in order for us to be able to make an informed decision about whether to interview you and, ultimately, recruit you.

We believe that you would reasonably expect us to process your personal information in this way and that such processing does not have an impact on you in a way that would make this processing unfair. Where your personal information is kept as part of a file relating to prospective employees of Attivo Group, we will retain that information and any information relating to that matter. This is so that we can review the file if any complaints or issues arise after the recruitment process. The length of time that we keep prospective employee files is usually 3 months after conclusion of the relevant recruitment process.

Unless you request us not to do so, we may also contact those individuals who are referred to in any information you provide us with, for example referees. This contact may be made by telephone, e-mail or post. We will only do this if we have your express permission to contact them in this way.

Where you have provided us with personal information about a referee or a previous employer, it is your responsibility to inform that person that you have provided us with their details and that we will be processing it in connection with your employment application. You should also give them our contact details (below) should they wish to discuss this with us. Click [here](#) to view our full privacy policy for prospective employees.

### **Agencies**

**\*\*We are unable to offer this position to recruitment agencies so we respectfully ask that agencies do not contact us in regard to posts advertised on this site\*\***

January 2019