

Compliance Manager – Cheltenham

Are you an experienced Compliance Manager looking for a new challenge? Do you have experience working within Financial Planning or Wealth Management? Are you looking for a company that offers progression opportunities and encourages study and personal development? If so, please keep reading!

We are recruiting for a Compliance Manager to join our Cheltenham Head Office to ensure the delivery of a quality and timely service to internal and external stakeholders in an effective and compliant manner.

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

- work with the advisory team to understand requirements
- undertake review and dissemination of new regulations to convey change requirements necessary in the business
- support training initiatives for the firm to develop a compliant, business-oriented culture
- undertake thematic and specialist reviews across the business in respect of specific regulatory topics and issues
- report to the Group Board on operational and compliance matters, providing regular performance reporting
- assist in the identification of gap analysis and the implementation of relevant regulatory measures and industry guidance pertaining to the regulated activities of the firm
- assist the File Review Team regarding technical queries and challenges
- provide regular communications to stakeholders through project reports and face-to-face meetings
- oversee the resolution of actions arising from compliance monitoring activity, ensuring these are completed on a satisfactory and timely basis
- own the relationship with compliance support partners, ensuring these deliver to contract and represent value for money
- ensure FCA reporting and data requests are completed accurately and on time
- supervise and support Compliance Analyst.

Qualifications, skills and experience

- minimum 5 GCSEs graded A-B, including Maths and English
- level 4 Diploma in Financial planning
- experience within IFA business
- good technical knowledge of pensions and investments
- experience in the application of the rules of the FCA
- highly organised with excellent attention to detail
- excellent communication skills – written and verbal
- strong stakeholder management experience
- team management experience
- excellent IT skills, including Excel and CRM systems

Salary and benefits

£40,000 to £50,000 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.

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****

February 2019