

HOYL INDEPENDENT ADVISERS

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Hoyl Independent Advisers are proud to provide only bespoke, high quality independent financial advice to personal and corporate clients. We offer a full range of financial services covering all retirement planning, investment, mortgage and insurance needs.

We're proud to have been recognised as one of the top financial advisers in the UK by FTAdviser, an achievement which clearly reflects our reputation as a firm providing only high quality financial advice and also our strong belief in ethical conduct.

We seek to employ a Compliance Supervisor who will be based at Upton House in Cromer (with some remote working). The successful applicant will be working alongside an established team.

Remuneration and other benefits are competitive.

Job Description

Job title	Compliance Supervisor
Reports to	Group Compliance Manager
Location	Cromer/remote
Salary	Starting salary £33,000 to 40,000 per annum (dependent on experience)
Contract	Permanent
Hours	37.5 hours per week (Monday to Friday)

Role Summary

To provide business wide compliance services, support and guidance to all areas of the business, ensuring risks are minimised but retaining a commercial acumen to promote the continued growth of the advisory business.

Main duties

Duties:

- Provide direct support, guidance and advice to the business on Compliance matters including FCA, Data Protection and Money Laundering Regulations as well as supporting regulatory change projects and new business initiatives
- Work with process and process owners across the business to ensure that Group policies are reviewed and update as required, assisting with the implementation of regulatory change projects and other compliance activities when required
- Provide practical interpretation and application of company and regulatory policy to resolve issues raised
- Provide the business with effective and robust advice suitability checks on all areas of the advice process including advice file checks and focused file audits
- To influence and assist all areas to establish and maintain appropriate standards of business practice consistent with company and regulatory requirements.
- To build effective, supportive relationships with key stakeholders to facilitate and develop the company and regulatory culture.
- To promote a positive and proactive approach to embedding 'best practice' and with it a forward-looking compliance culture.
- To assist in evaluating employee performance and identifying training needs.
- Design and develop reports for forums, committees and board to ensure consistent high quality compliance reporting and MI
- Assist with the approval process for marketing materials, financial promotions and technical documentation
- Take responsibility for designing, producing and managing compliance processes including assisting other areas of the business with their own process requirements.

- Provide input to the periodic review of Compliance owned pages on the Company's intranet site

This list is not exhaustive. There may be, from time to time, additional duties at the request of your Line Manager or other Senior Manager.

Person Specification

Attributes	Essential	Desirable	Assessment method
Education / Qualifications	<ul style="list-style-type: none"> • Good standard of education including English and Maths. • Level 4 Diploma. • Working towards Level 6 Chartered 	<ul style="list-style-type: none"> • Level 6 Chartered • CeMap or equivalent 	Application
Experience / Knowledge	<ul style="list-style-type: none"> • Excellent knowledge of the UK Regulatory Framework. • Substantial experience in a similar role within a regulated Financial Services environment. • Working knowledge of all FCA sourcebooks 	<ul style="list-style-type: none"> • Mortgage and Equity Release working knowledge • Pension Transfers and Opt-out working knowledge • Working knowledge of UK GDPR requirements. 	Interview
Skills	<ul style="list-style-type: none"> • Balancing commercial requirements with a risk adverse strategy • Analytical and strategic problem solving. • Excellent organisational skills. • Excellent written and verbal stakeholder communication skills. • Situational decision making. 	<ul style="list-style-type: none"> • Ability to drive change. • Excellent people management skills. • Risk assessment. • Project management. 	Interview / task
Personal qualities	<ul style="list-style-type: none"> • Calm under pressure. • Pleasant manner. • Best customer outcomes mind set. • Professional attitude. • Punctual. • Team player • High attention to detail. • Enthusiastic. • Flexible approach to duties. • Self-motivated. 	<ul style="list-style-type: none"> • Committed to personal development through knowledge and skill improvement 	Interview

Disclosure level

What disclosure level is required for this post?	None	Basic	Standard	Enhanced
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Employment checks Evidence of eligibility to work in the UK will be required and a Disclosure and Baring Check will be required for this post

More information If you would like to contact us for an informal chat, or for further information, please email HR@hoyl.co.uk

How to apply Please download an application form from our website at <https://www.hoyl.co.uk/> and email it to HR@hoyl.co.uk (application forms are available in large print)

Closing date 9.00am Monday 28th June. We reserve the right to appoint early, before the closing date, so please do not delay in applying