

COMPLIANCE ADMINISTRATOR

Head Office, Worthing, West Sussex

We are looking for a Compliance Administrator that is able to hit the ground running with a good attitude and clear understanding of the Financial Services industry.

Negotiable salary on offer dependant on experience, knowledge and qualifications.

The main responsibilities will include:

- File checking and Adviser KPI reviews
- Advising the business on maintenance of compliance
- Maintenance of compliance registers and reports
- Perform due diligence on prospective Introducers and issue agreements.
- Checking advertising, publications, websites etc. are compliant
- Communicating company policies to staff
- Research & reading, keeping abreast of relevant regulatory changes and updates and where necessary prepare summaries on such research
- Identifying potential areas of compliance vulnerability and risk
- Ensure that Treating Customers Fairly (TCF) requirements are met by the company

The ideal candidate will have previous compliance, advising or paraplanning experience within an IFA practice and have a flexible hardworking approach to their work. Any Financial Services Qualifications including the Level 4 Diploma and FPC 123 are not an immediate must but would be advantageous. Eventual level 4 qualification is a requirement.

Please contact Fiona Ede at fiona.ede@thefrygroup.co.uk or call 01903 231545.

Closing date: 17 May 2019

We do not accept unsolicited approaches from agencies.