



Regulatory Compliance Role

The Team

Our management team, led by Managing Partner Mike Parker, is committed to developing the Firm with the aim of:

- building on our reputation as trusted and expert legal advisers;
- continuing to develop long lasting working relationships with our client;
- becoming an employer of choice.

To achieve this, the management team has to ensure that our lawyers and staff are able to work as efficiently as possible. In so far as regulatory compliance is concerned, this means ensuring that we are fully compliant, but in a manner that does not unduly inhibit our staff. The successful applicant will be a member of the management team and will work in close liaison with the Managing Partner and Directors of HR, IT and Finance.

The Role

Our current Best Practice Director will be reducing his role from May 2018 and we are seeking someone to take over his regulatory responsibilities. The role provides an outstanding opportunity to progress, develop and be rewarded for your achievements as part of a successful and growing business.

With a key focus on regulatory compliance, you will:

- Be responsible for AML compliance. This involves keeping the AML handbook (which incorporates all policies) up to date, undertaking risk reviews, ensuring that all relevant policies and procedures are understood and complied with by fee-earners and staff, monitoring compliance and arranging ongoing training.
- Assess all potential money laundering and terrorist events, assisting the Money Laundering Reporting Officer in reporting these to authorities as necessary. Managing communication with the client and other parties where a report has been made.
- Ensure that the Firm complies with all general regulatory obligations affecting it. The most significant of these being GDPR.
- Be responsible for compliance with the SRA handbook (excluding chapters 1,3 & 4) which includes the Solicitors Accounts Rules.
- Maintain all registers required by the SRA handbook.
- Advise the COLP and COFA as to any potential breaches and the steps to be taken and maintaining appropriate registers.
- Review of all policies and procedures issued by the Firm on an annual basis.
- Ensure that the Firm has an easily assessable manual incorporating all policies and procedures.
- Provide in-house training on compliance.



Key Requirements

- Excellent knowledge and understanding of the SRA's regulatory framework
- Excellent knowledge and understanding of the Solicitors Accounts Rules
- Strong ability to build and manage relationships at all levels
- Capable of analysing large volumes of information and analysing the key details issues and risks
- Ability to challenge appropriately
- Strong commercial focus
- Ability to communicate clearly with colleagues and clients
- Ability to work as part of a team in a positive and proactive manner

Hours of Work	9.00am - 5.00pm Monday to Friday Core hours of 35 per week
Benefits	27 days holiday 2 x salary life assurance Private Medical Insurance (after 6 months) Permanent Health Insurance (after 2 years) Pension Optional benefits
Location	Salisbury