

## Compliance Associate

Gem Compliance is a leading compliance and regulatory consultancy. It provides bespoke, tailored compliance solutions for small to medium sized financial services firms, including investment advisory and management firms, insurance intermediaries, consumer credit firms and authorised professional firms.

Services include FCA application support (authorisation, variation of permission, change of control) and ongoing compliance support, including monitoring visits, FCA systems and controls healthchecks and ad hoc technical support and training.

For our associated FCA regulated investment manager, Midmar Capital LLP, we provide in-house services including: on-boarding and registration of appointed representatives and associated individual approvals, monitoring visits, technical support, and training.

We are looking to recruit further experienced compliance staff with a primary focus on monitoring activities and with the drive and ambition to support both organisations to grow and meet their full potential.

Responsibilities will include:

- Conducting compliance monitoring visits and systems and controls healthchecks;
- Providing technical advice on FCA rules to regulated firms and appointed representatives;
- Support on preparing and submitting FCA applications for approved persons, appointed representatives, change in control, authorisations and variations of permission;
- Technical and/or administrative support on project work, including fund closes;
- Periodic reviews/updates of manuals, financial promotions, procedures, training material and regulatory circulars;
- In the longer term, being responsible for your own portfolio of advisory and monitoring clients.

Experience/Skills required:

- Previous compliance monitoring experience essential (3 years minimum) in either in-house or consultancy capacity;
- Working knowledge of FCA Handbook or equivalent regulatory regime;
- Good technical compliance and analytical skills;
- Self motivated, questioning and proactive nature;
- Ability to work in a small team but also independently, using your own initiative;
- Ability to plan and prioritise own workloads;
- Interpersonal skills including ability to deal with client senior management;
- Good communication skills, both written and verbal;

- Ability to identify compliance related gaps/weaknesses and design solutions;
- IT proficiencies, particularly in Office software;
- Professional qualification(s) in compliance or a related discipline an advantage but not a pre-requisite.

The role will be based either in Edinburgh or the South East depending upon the right candidate, with travel to other UK locations and client offices when required.

This position offers:

- A competitive salary and benefits (pension/holidays) package
- Flexible working hours
- Learning opportunities, both in house and external
- Cycle to work scheme
- Laptop and mobile phone

Please email Gillian Gallacher with a CV and cover letter to [gill@gemcompliance.com](mailto:gill@gemcompliance.com).