



Compliance Consultant

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 for a variety of regulated clients can include FCA perimeter advice and applications support (firm authorisation, variation of permission, on-boarding and registration of appointed representatives, individual approvals, and change of control) and ongoing compliance support, including FCA systems and controls healthchecks and ad hoc technical support and training.

We are looking to recruit further experienced compliance staff with a primary focus on advisory and monitoring activities and with the drive and ambition to support our organisation to grow and meet its full potential.

Responsibilities will include:

- Providing technical advice and solutions on FCA rules to regulated firms and appointed representatives including on regulatory perimeter issues;
- Advice on preparing and submitting FCA applications for authorisation or variations of permission, also approved persons and appointed representatives, and change in control;
- Advising on new regulatory developments and support on implementation;
- Technical and/or administrative support on project work, including periodic reviews/updates of manuals, financial promotions, compliance policies, training material and regulatory circulars;
- On occasion, conducting compliance monitoring visits/systems and controls healthchecks and training;
- Post induction, being responsible for your own portfolio of clients; and
- Identifying new business development opportunities for compliance related support.

Experience/Skills required:

- Previous compliance consultancy, advising or 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 including financial crime systems and controls;
- 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 preferred but not a pre-requisite.

The role will be based either in Edinburgh or the South East of England 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 gillian@gemcompliance.com.