

Hargreaves Lansdown, Role Profile and Person Specification

Role Profile

Job Title: Compliance Assessor	Hours of Work: 9:00 to 5:00 Monday to Friday
Department: Compliance	Reporting To: Compliance Monitoring Manager

Summary:

Reporting to the Compliance Monitoring Manager, you will be responsible for conducting and reviewing a range of compliance monitoring tests across the whole of the HL Group to provide assurance that FCA rules are being adhered to at all times. This will give an insight into how most departments work and how they comply with FCA rules.

Key Duties & Responsibilities

- Performing compliance monitoring tests of varying frequency in line with existing procedures.
- Writing up test results and reporting on these on a regular basis.
- Reviewing the effectiveness and appropriateness of these tests in order that they can evolve and adapt in line with changes in the business and the FCA's rules.
- Proposing new tests or changes to existing tests as part of the regular review process.
- Liaising with other parts of the business regarding their approach to compliance with the FCA's rules and helping managers improve controls where necessary if rule breaches are identified.

Person Specification:

	Essential	Desirable
Qualifications	<ul style="list-style-type: none"> • Good A-Levels (Grade C or above) or equivalent 	<ul style="list-style-type: none"> • Degree or equivalent • Any financial services related qualification (or working towards)
Knowledge	<ul style="list-style-type: none"> • Knowledge of financial services • Basic computer literacy • Knowledge of products and services offered by Hargreaves Lansdown • Knowledge of the FCA's role 	<ul style="list-style-type: none"> • Knowledge of FCA's rules that HL must abide by
Experience	<ul style="list-style-type: none"> • Any further relevant experience (e.g. writing letters or reports, organising or planning checks or tests, etc.) • Checking and peer reviewing 	<ul style="list-style-type: none"> • Any experience of working in a conduct environment
Competencies	<ul style="list-style-type: none"> • Strong communication skills • Comfortable communicating with other staff and managers across the business • Good written and numeracy skills • Excellent attention to detail • Good diplomacy skills • Good organisational skills • Ability to perform under pressure • Working knowledge of MS Excel & Word 	<ul style="list-style-type: none"> • Analytical skills • Excellent communication skills • Excellent written and numeracy skills • Ability to prioritise workload and meet deadlines • Problem solving skills • Ability to use initiative
Attributes	<ul style="list-style-type: none"> • Hard working and conscientious • Reliable and trustworthy • Professional with a presentable appearance • Pro-active and positive • Reasonable and respectful • Sense of pride from doing a good job • Team player 	<ul style="list-style-type: none"> • Willingness to learn and a desire to develop professionally • Desire to contribute to the company's success and uphold its exceptional reputation