

Hargreaves Lansdown, Role Profile and Person Specification

Role Profile	
Job Title: Compliance Monitoring Manager	Hours of Work: 37.5 hours Monday to Friday
Department: Compliance	Reporting To: Head of Compliance

Summary:

Reporting to the Head of Compliance, the successful candidate will be responsible for managing the Compliance Monitoring Team and conducting and reviewing a range of compliance assurance activities and thematic reviews across the whole of the HL Group to provide assurance that FCA rules are being adhered to at all times. The role is varied and challenging, requiring strong management skills, detailed investigations and a wide range of testing and report-writing. It also includes regular interaction with managers and directors across the Group.

Key Duties & Responsibilities

- Management of the Compliance Monitoring Team
- Develop and agree an appropriate Compliance Monitoring plan each year, working with key stakeholders to develop and agree a risk-based plan that covers both assurance and themed based testing
- For each area under review, develop an appropriate testing plan based on the relevant/key FCA rules
- Where a need for assurance / monitoring work is identified but considered to be outside of competence, obtain agreement for external consultancy / co-sourcing
- Deliver the agreed plan within agreed timescales, to include; draft and agree terms of reference, undertake monitoring activity, agree findings with relevant management teams and issue final reports
- Chase outstanding actions and escalate concerns through MI to the Executive Committee and other relevant committees as required
- Develop strong internal network with proactive engagement with key senior management to involve them in the agreement of testing plans
- Hold periodic meetings with other risk functions – internal audit and risk – to avoid duplication and ensure plan remains relevant

Person Specification:		
	Essential	Desirable
Qualifications	<ul style="list-style-type: none">• Degree or equivalent	<ul style="list-style-type: none">• Chartered Internal Auditor or• Accountant (or equivalent)• Additional audit and/or accountancy qualifications especially relating to financial services, information technology, risk management, etc.
Experience	<ul style="list-style-type: none">• Experience of working in a conduct environment (for example Compliance, Auditing, Monitoring)	<ul style="list-style-type: none">• Significant experience of Compliance Monitoring within a financial• services company• Experience of monitoring CASS, Fund Management, Advisory Services, COBS etc.
Knowledge	<ul style="list-style-type: none">• Knowledge of financial services	<ul style="list-style-type: none">• Knowledge of FCA's rules that HL must abide by• Working knowledge of other data analytics software• Strong Microsoft Excel and report-writing skills• Knowledge and or experience of CASS, Asset Management, Advisory Services, Fund Management
Competencies	<ul style="list-style-type: none">• Exceptional communication skills• Exceptional analytical skills• Exceptional writing skills• Strong organisational skills• Strong attention to detail• Strong diplomacy skills	<ul style="list-style-type: none">• Ability to prioritise workload and meet deadlines• Ability to use initiative
Attributes	<ul style="list-style-type: none">• Inquisitive• Articulate• Proactive• Organised• Objective	

	<ul style="list-style-type: none">• Confident• Professionally sceptical	
--	--	--