



## JOB DESCRIPTION

Compliance Officer



# Mission Statement

At first union we are committed to offering our customers the highest possible standards of service. In so doing, we are pleased to continue to support the principle of 'Treating Customers Fairly', better known as TCF; and the initiatives being taken by the Financial conduct Authority to further its implementation.

To our customers we are committed to;

- Making customers our Number One priority
- Delivering exceptional customer service
- Treating each customers' needs on an indivial basis
- Offering financial packages that meet our customers circumstances
- Ensuring compliance of the highest standard with the regulatory authorities
- Continuous improvement and innovation in the way we do business

To our staff we are committed to

- Ensuring the welfare of our staff
- Working together to achieve goals
- Listening to staff and valuing feedback
- Creating a challenging, regarding and exciting working environment
- Developing team spirit
- Continuous improvement and innovation in the way we do business



**Job Title:** Compliance Officer

**Remuneration:** £30,000 - £40,000

**Reporting to:** Managing Director

### Role specification

- Ensure the Company is compliant with FCA regulations at all times
- Continually review Company procedures and recommend and implement agreed changes to improve efficiency and effectiveness
- Oversee the smooth running of the Compliance Department
- Provide training to other departments on appropriate compliance issues
- Implement all necessary procedures in an accurate and timely manner for all FCA regulations
- Maintain and amend manual and procedures as necessary in line with FCA regulations ensuring all departments are aware of changes and amendments and carrying out new/amended procedures
- Give full support and guidance to line managers on all FCA matters
- Ensure Company manual is reviewed and up to date
- Implement effective communication routes to departments to ensure all working to same procedures
- Ensure adequate training is in place and available where procedures are not being adhered to
- Implement accurate administration systems to document and record new/changes/amendments made to manual/procedures in line with FCA regulations

### Person Specification

- Willingness to participation in regular online Company training
- Ability to undertake regular training to retain compliant status; and for ongoing development within the Company
- Experience in training and management of staff
- Provide excellent customer service
- Excellent attention to detail and accuracy of notes, documents produced
- Undertake special projects
- Ability to handle customer complaints in a timely and appropriate manner



