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<b>Job Description</b>		
<b>Job Title:</b>  Compliance Officer (First Line)	<b>Partner:</b>  <b>Finch</b>	<b>Reports to:</b>
<p><b>Job Outline:</b></p> <p>The primary focus of the Compliance Officer (First Line) is to demonstrate to the Senior Management that regulatory requirements for their business are being met.</p> <p>The role is expected to help facilitate a strong customer centric and compliant culture throughout their own business and Ethos Broking, maintaining an effective relationship with employees at all levels, assisting them to comply with FCA standards, regulatory technical advice and other regulatory relevant requirements.</p> <p>The role is to assist in ensuring Finch adhere with the relevant regulatory requirements and regular reporting to Ethos committees.</p>		
<b>Behaviours</b>		
<p>The Compliance Officer (First Line) are to display the following behaviours and provide all stakeholders (employees and Senior Management) the necessary support required whilst building relationship both internally and externally within the Group;</p> <ul style="list-style-type: none"> <li>• Positive attitude – mindset that helps you see and recognise opportunities</li> <li>• Inquisitive – want to discover as much detail in relation to a matter</li> <li>• Building trust – develop trust between people to work more effectively</li> <li>• Self-Confident – behave calmly as there are no doubts about your ability or knowledge</li> <li>• Proactive – acting positively in relation to change and not reacting negatively to change when it happens</li> <li>• Challenging – where you encounter a difficult task/situation, to be determined to achieve results</li> <li>• Resilient – be able to adapt to being successful / happy where a difficult situation / task has occurred</li> <li>• Practical - take a practical viewpoint and help support effective solutions</li> <li>• Forward thinking – keeping up to date with technology and systems</li> <li>• Team player – work closely in a positive manner with all colleagues</li> <li>• Work independently – ability to perform tasks without help from others</li> <li>• Adapt to change / Flexibility - the ability to change easily according to the situation</li> <li>• Persuasive and influencing skills – influence colleagues to ensure correct outcome is obtained</li> <li>• Negotiating skills – to have a difficult discussion to reach an agreement on a positive approach</li> <li>• Willing to Learn – to be comfortable in learning new subjects.</li> </ul>		

## Key Duties and Responsibilities

### Communication / Support

- Develop valuable and ongoing working relations with Ethos through effective communication and efficient working methods
- Regularly communicate with Senior Management when required on relevant activities and progress
- Achieve performance standards and objectives in line with agreed requirements
- Participate in all team communications (meetings/e-mails/etc) to ensure a proactive and informative contribution is made
- Ongoing support to the team working collectively and consistently, through regular effective communication, sharing of information, on the job support etc.
- Ensure regular contact with Ethos on all compliance issues.

### Knowledge / Regulatory

- Working with local Senior Management and the Risk and Compliance team to ensure compliance with current regulatory requirements
- Implement new and changing regulatory requirements and associated procedures with support from the Ethos Risk and Compliance team
- Be familiar with the business and current regulatory compliance initiatives to meet the compliance requirements
- Assist in the implementation of the Ethos Risk and Compliance Framework
- Play an active role in assisting and maintaining a Risk Register
- Ensure knowledge on all compliance related matters is achieved and continually maintained
- Conduct reviews of compliance with regulatory process and procedures, where required action plans to be documented, implemented and tracked to closure.

### Record Keeping

- Document and monitor ongoing completion of actions arising from due diligence, acquisition integration, monitoring reviews and internal audit
- Document and monitor ongoing completion of actions arising from compliance meetings
- Maintain excellent record keeping in line with Ethos requirements.

### Management Information

- Ensure full and accurate records are kept of all communications and ensure that department reporting requirements are met within required timescales
- Produce accurate management information reports in connection with compliance activity and ensure any issues identified are addressed in a timely manner
- Ensure prompt escalation of significant compliance issues to Ethos.

### Training

- Assist in writing and delivering compliance training workshops in a professional and motivational manner when required.

### Personal Development

- Conduct personal learning, training and assessment as relevant to role
- Attend FCA / BIBA regulation workshops / road shows, to ensure continuous knowledge and understanding, as deemed appropriate.

This job specification is not exhaustive and serves only as a broad outline of the duties required. This

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job specification may be amended as necessary.

#### **Industry Knowledge / Technical Skills Required**

- Working knowledge of FCA and other regulatory requirements in a General Insurance environment
- Up to date knowledge of the General Insurance market and associated regulations
- Good insurance experience required with a thorough understanding of “good customer outcomes”
- Good knowledge of business processes and procedures
- Commercial awareness and the ability to take a pragmatic approach in understanding and applying a positive compliance culture
- Technical knowledge and experience of the UK regulatory framework and markets as it applies to insurance brokers
- Attention to detail and ability to apply robust processes to all activities.

#### **Key Skills Required**

- Strong and effective organisational / time management skills
- Ability to work well under pressure
- Ability to adapt to a fast-paced organisation from a change management perspective
- The ability to work under own initiative and in many different and challenging environments in a fast-growing business
- Recognising when to ask for guidance in considering options and solutions
- Analytical
- Willingness to take on a variety of tasks
- Ability to learn and understand new subjects quickly, and deliver high quality output within tight deadlines

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- Results driven & business minded
- Ability to confidently challenge business managers and other senior individuals in the group when appropriate
- The ability to take a pragmatic/commercial approach in understanding and applying regulatory requirements
- Good active listening skills
- Exceptional verbal and written communication skills, including the ability to:
  - distil complex issues into succinct messages;
  - present confidently and concisely to a variety of internal and external stakeholders at all levels; and
  - Deliver, clear and persuasive messages and capable of robust dialogue.