**Job description**

## Job title: Senior Compliance Officer

## Department: Business Services

## Reporting to: Head of Professional Ethics & Risk Management

## Contract: Permanent, full-time – with hybrid working,

## Hours: Hours worked are between 9:30am-5:30pm, Monday to Friday

## Office location: London

## Salary: Competitive, plus benefits

**Benefits include:** 29 days holiday per annum inclusive of 4 days of compulsory leave to be taken during the period of office closure between Christmas Eve to the 1st working day of the new year, plus all public and bank holidays; contributory pension scheme; life assurance (4 times the annual salary); interest free season ticket loan; childcare vouchers; cycle to work scheme.  We also have annual social activities and genuinely pride ourselves on having a supportive and friendly culture.

**About the Professional Ethics & Compliance Team:**

The team promote a firmwide culture of ethical conduct, risk management and regulatory compliance, including in the management of client monies, working with everyone in the firm to continuously improve our standards and awareness. This means the team are proactively mitigating risks by providing advice, training, policy updates, audits, systems analysis and answering queries. Partners with specific responsibilities for compliance are advised and supported to help the firm meet its regulatory and statutory obligations.

**Overall purpose for this role**

Supporting our partners responsible for compliance with Solicitors Accounts Rules (the COFA and Finance Director), our MLRO and Anti-Bribery officer, the role holder has an opportunity to do proactive, complex work, advising teams firmwide. The role holder will work with legal and Business Services teams on policies, training and projects to improve client onboarding, payment procedures and residual balances to mitigate the risks of non-compliance.

**Main duties and responsibilities**Providing support to the firm’s COFA in:

* assisting Accounts and Finance teams on their development of systems and controls for their compliance with the SRA’s Accounts Rules
* managing complex queries from fee earners and Accounts related to the Solicitors’ Accounts Rules, identifying and addressing any potential areas of non-compliance (e.g. payments, residual balances, third party managed accounts)
* assisting with preparation for the annual finance auditor’s visit and relevant aspects of the annual bulk practising certificate renewal
* auditing processes, planning training

Providing support to the MLRO and Anti-Bribery Officer in the management of:

* the firm’s client onboarding/due diligence/sanctions and PEP procedures, manual and automated
* AML and anti-bribery risk assessment policies/procedures
* management of AML, KYC, anti-bribery queries and concerns
* reports to the NCA
* auditing processes, planning training,

Management of the conflicts policy and conflicts checking procedures to include:

* Implementation and monitoring of processes, manual and automated
* Handling queries and concerns
* route for management of potential conflicts at a senior level
* planning and delivery of training

Providing support to fee earners and business services staff answering their queries on regulatory requirements, primarily on SRA Accounts Rules, AML and KYC requirements, probate and insolvency, anti-bribery and internal firm processes for compliance with SRA Codes of Conduct.

Supporting the communication and delivery of compliance requirements for any external audits of the firm’s processes to include maintaining Lexcel accreditation, preparation for and conduct of Lexcel assessments.

Managing the relevant registers (e.g. queries and concerns, breaches), to identify improvements to make, implement and monitor action plans, measuring their effectiveness, ensuring that milestones are met and communicating results in written reports,

Working with the Project Management Office (PMO), IT and Learning & Development teams on the development of compliant processes, workflows, and training to implement.

**Performance Measured By**

* Ability to answer queries knowledgeably, address issues, provide solutions.
* Ability to be responsive (in clear written feedback) to others in Compliance team and firmwide (where relevant) on projects and their progress.
* Ability to track and flag potential issues to manage.
* Demonstrate initiative, flexibility, ownership and responsibility.
* Personal development and contribution to the overall objectives of the Firm.
* Good attendance and timekeeping.

**Person Specification**

* Previous relevant experience of working in a risk & compliance role within a legal services environment, preferably at a claimant law firm.
* Demonstrable understanding of the Solicitors Accounts Rules, Anti-Money Laundering Regulations and conflicts within a legal environment and their application.
* Understanding of legal case management and finance management systems
* Understanding of/ involvement in assessments by external auditors for accreditations or a regulatory purpose
* Understanding of the SRA Standards and Regulations
* Understanding of insolvency, probate and anti-bribery requirements desirable
* Ability to be pro-active, with previous experience of supervising individual projects and people to improve compliance standards.
* Demonstrable knowledge of researching, analysing, drafting and communicating compliance procedures and policies.
* Ability to work closely with and manage expectations of members of partners, other fee earners and business services staff.
* Excellent written and oral communication skills and attention to detail
* Adaptable and able to work in a busy professional work environment.
* Ability to deal with confidential, sensitive information with trust, integrity and confidence.
* Have the highest standards of professional ethics