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JOB TITLE: COMPANY SECRETARY AND COMPLIANCE

REPORTS TO: CHIEF RISK OFFICER

Kingswood Holdings Limited (trading as Kingswood) is an AIM-listed integrated wealth management group, with more than 7,000 active clients and c. £2.5 billion of Assets under Management. It has a growing network of offices across the UK as well as offices in New York and Johannesburg. Clients range from private individuals to some of the UK’s largest universities. The Group’s vision is to become a leading global provider of trusted wealth planning and investment management solutions to clients, underpinned by investment in people and innovation in technology to support our advisers and clients.

## SUMMARY OF ROLE

This is a role which provides Company Secretarial and Compliance support to the Kingswood Group.

**RESPONSIBILITIES**

* Development and maintenance of a robust governance and committee structure across all Group entities.
* Minute taking for formal governance meetings, ensuring discussion and challenge is adequately captured.
* Investigation into any shareholder register issues.
* Manage relationships with insurance underwriters / brokers and ensure adequate company insurance coverage.
* Lead on RNS announcements and other statutory matters.
* Maintain and update a full suite of compliance policies and manual
* Ensuring PA and PDMR dealing policies are fit for purpose, understood, and followed.
* Management of Companies House filings, FCA registrations, authorisations, and regulatory returns.
* Maintenance of the company errors and breaches log.
* Manage the effective roll-out and maintenance of the Senior Manager & Certification Regime amongst certified and conduct rule staff.
* Take the lead on company secretary related investigations and support the Chief Risk Officer and Compliance colleagues with other Compliance related matters.
* Manage the roll out of company-wide compliance training.
* Provide support the Chief Risk officer is his role as Money Laundering Reporting Officer (MLRO) and Data protection officer (DPO)

**SKILLS AND EXPERIENCE**

* Experience as a Company Secretary
* FCA systems and returns
* Compliance Policies and Manual
* Minute taking and general governance experience.

**Additional desirable experience:**

* A Company Secretary qualification.
* Data Protection
* Money Laundering

**To Apply:**

Please send a CV and cover letter to Careers@Kingswood-Group.com