



## **JOB TITLE: ASSOCIATE – COMPLIANCE ANALYST**

### **REPORTS TO: CHIEF RISK OFFICER**

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Kingswood Holdings Limited (trading as Kingswood) is an AIM-listed integrated wealth management group, with more than 16,000 active clients and c. £6 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 Compliance support to the Kingswood Group.

#### **RESPONSIBILITIES**

- 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 maintenance of the Senior Manager & Certification Regime amongst certified and conduct rule staff.
- Manage the roll out of company-wide compliance training.
- Provide support the Chief Risk officer in his role as Money Laundering Reporting Officer (MLRO) and Data protection officer (DPO)
- Assist with the creation and review of meeting packs for senior executive and Board level committees.
- Assist with RNS announcements and other statutory matters.
- General compliance activities.

#### **SKILLS AND EXPERIENCE**

- 2-3 years' experience in a compliance role within Financial Services, preferable Wealth Management.
- Familiarity with FCA systems and returns
- Experience of Compliance Policies and Manuals and their maintenance.
- Minute taking and general governance experience.

Additional desirable experience:

- Data Protection
- Money Laundering

Interested candidates please send your CV to [Linda.Tottem@Kingswood-group.com](mailto:Linda.Tottem@Kingswood-group.com)