

Job Description

Job Title:	Compliance & Risk Manager
Department/Office:	Group Services Team / London
Reporting to:	Head of Compliance & Risk
Responsible for:	Regulatory Advice
Brief description of role:	Prime responsibility for providing advice on Hawksmoor's regulatory & risk frameworks
Controlled function:	N/A

Under the Senior Managers and Certification Regime this role is defined as being Conduct Staff. As such you are obliged to adhere to the First Tier of the FCA's conduct rules. Should disciplinary action result from a failure to comply with these rules, then Hawksmoor will be obliged to inform the FCA of any breach.

Outline of Main Tasks

- Management of the Enterprise Risk Management framework and associated risk assessments to identify, assess and manage risk and providing advice to the business on the implementation of effective systems and controls to ensure the best outcomes for clients and to ensure compliance under the regulatory system.
- Manage the RRA in order to provide regulatory advice on the existing regulatory frameworks and developments.
- Provide regulatory advice to the First Line to ensure the best outcomes for clients and to ensure compliance with Hawksmoor's obligations under the regulatory system and for countering risk that Hawksmoor might be used to further financial crime.
- Coordination of the risk & control self-assessments for the Compliance function and providing oversight and advice on the First Line's own risk & control self-assessments in order to contribute to the overall compliant operations of the firm.
- Provision of advice to various governing bodies and committees.
- Oversee advice to support the business in the practical application of the regulatory frameworks.
- Keep up-to-date with the activity on the regulatory change process to monitor how the identified regulatory updates impact Hawksmoor and assessing the risk of these changes on Hawksmoor and providing risk oversight on the effective implementation in line with the best outcomes for clients and the business area, with a view to developing the relevant risk assessments.
- Provision of management information to the Head of Compliance & Risk, relevant committees and governance bodies as required.
- Co-ordination of documented and effective procedures for the Compliance Team consistent with internal standards, business goals and attitude to risk.
- Stay current on the firm's Consumer Duty obligations and regulatory requirements relating to compliance and risk management. Advise on implementing robust policies, controls and risk frameworks that enable positive consumer outcomes and mitigate potential harm across all business activities. Identify areas of heightened consumer risk and escalate any concerns about the firm's ability to meet its Consumer Duty responsibilities.
- Demonstrate a commitment to promoting and supporting diversity and inclusion in the financial sector, in line with the FCA's regulatory framework and objectives.

Additional activities

The job holder will be required to perform any additional activities that are relevant to the role, as determined by management.

Qualifications	Ideally achieved or working towards relevant CISI qualification or equivalent
Skills and competencies	<ul style="list-style-type: none">- Significant experience in risk, compliance and governance frameworks within regulated financial services environments- Strong understanding of regulatory requirements, industry best practices and emerging risks- Keen knowledge of policies, controls and monitoring required to enable positive consumer outcomes and mitigate potential harm- Excellent analytical, critical thinking and problem-solving abilities- Keen attention to detail and adherence to procedures/controls- Ability to interpret complex regulations and provide clear, actionable guidance- Effective communication skills to advise stakeholders across all levels- Collaborative approach to building relationships and influencing positive change- Proactive mindset to identify and mitigate compliance/operational risks

COMPETENCY SET REQUIRED FOR SUCCESS IN ROLE OF COMPLIANCE MANAGER

Leadership	<ul style="list-style-type: none"> • I identify and influence improvements in business practices and standards to ensure the right outcomes for clients and staff • I create a positive environment - I am seen by others to be professional and confident • I promote a culture of decision-making and problem solving • I am able to make critical distinctions and achieve a balanced viewpoint to make sensible decisions whilst recognising the need to refer to others as appropriate (effective risk and commercial judgement)
Commitment and Drive	<ul style="list-style-type: none"> • I am personally motivated to achieve success for the business and the right outcomes for clients • I am able to motivate myself and others to produce high standards of outputs and results
Planning and Organisation	<ul style="list-style-type: none"> • I ensure issues/deadlines are not overlooked • I am personally well organised • I demonstrate the capability to manage new tasks and initiatives to maximise outputs and fulfil stakeholders' priorities
Business Management	<ul style="list-style-type: none"> • I demonstrate commercial awareness and management of resource • I provide senior management with effective MI and regulatory affairs updates • I take responsibility for ensuring staff have a good understanding of their responsibilities and undertake training where it is needed
Performance Management	<ul style="list-style-type: none"> • I am seen to promote high standards and a culture of excellence as the norm - I take personal responsibility for my own development • I am able to coach effectively • I continually evaluate and measure results against personal and departmental objectives
Communication	<ul style="list-style-type: none"> • I am seen to build and maintain effective working relationships with others • I can influence and negotiate with other internal & external stakeholders (e.g. FCA) to reach constructive outcomes for the business • I can demonstrate that I can communicate in a clear and explicit manner through both verbal and written / electronic means • I am able to demonstrate that I can work as a member of a small or an extended team
Use of knowledge	<ul style="list-style-type: none"> • I use effective skill sets to allocate and distribute work • I can demonstrate as appropriate the use of Technical, IT and industry knowledge • I can demonstrate a broad range of understanding of regulation and its implications for the business including FCA, financial crime, Data Protection, etc.