

Job Title:	Compliance Associate
Department:	Risk and Compliance
Business/Function:	Risk and Compliance
Main Location:	Bath, Henry Street
Reports To:	Compliance Manager
Job Summary/Purpose	
Reporting to the Novia Compliance Manager in order to maintain a sound and robust compliance framework appropriate to Novia Financial Plc.	
Key Responsibilities	
<ul style="list-style-type: none"> • Complaint handling, investigation and resolution in a compliant manner that treats customers fairly. • Dealing with the Financial Ombudsman Service (FOS) in relation to any complaint investigations. • Supporting the business to resolve breaches, incidents and complaints. • Compliance administration of the Omia Risk Management systems for any incidents, breaches and complaints. • Assisting to provide a timely, clear and compliant response to general queries received from the business, and any received through the compliance mailbox. • Assisting with suspicious activity investigation and reporting for the protection of financial crime. • Assisting with the submission of timely regulatory reporting data to the Financial Conduct Authority (FCA) and Her Majesty's Revenue and Customs (HMRC). • Support training and awareness to internal colleagues of regulatory requirements. • Assisting with compliance approval of marketing material including presentations, brochures, websites and document templates. • Assisting with Risk and Compliance business monitoring activities. • Work as part of a team to ensure that all work gets completed within the required timescales. • Assisting the Risk and Compliance team to achieve its broader team objectives. <p>You will, from time to time, be required to undertake other activities that fall within your capabilities as directed by management.</p>	
Core Competencies	
<p>Business Focus The motivation and ability to apply good financial practice and company procedures at all times.</p> <p>Operational Excellence Continually delivering and improving excellence for clients and customers.</p> <p>Client and Customer Focus Add value to client/customer, adhere to Treating Customers Fairly principles, and operate as a true business partner.</p> <p>Communication Communicate clearly and concisely, tailoring content and style, with ability to make a positive impression on others.</p> <p>Expert Knowledge Consistent application of professional or specialist knowledge and skills; takes opportunities to contribute to policy and best practice.</p> <p>Working With Others Working successfully with others and building a network of good relationships in order to achieve shared</p>	

goals.

Performance Focus

Demonstrate energy and enthusiasm, takes ownership, delivers results and improves personal performance.

Key Contacts/Stakeholders

Senior Management and Board members.
Trustees.
Operations teams.
Sales teams.
Regulatory authorities.
Ombudsman services.
Third Party Compliance contacts.
External and internal auditors.

Specialist Skills, Qualifications and Experience

Essential:

- Two years' experience in a financial services role.
- Technical product knowledge.
- Ability to work well individually as well as part of a team.
- Data processing skills.
- Confident interpersonal, communication and persuasion skills.
- Ability to work to demanding deadlines.
- Strong IT skills (especially Excel, Word, PowerPoint).

Desirable:

- Operationally focused, hands on style.
- Ability to work within a small team.
- Ability to work to tight deadlines.
- Complaints and breach investigation.
- Interest and commitment to improve knowledge and study for qualifications.