

CRISPIN SPEERS AND PARTNERS LIMITED

JOB DESCRIPTION

Job Title:	Compliance Assistant
Reports to:	Compliance Officer
Business Unit:	Compliance

Job Purpose:	The role will provide support to the Deputy Compliance Officer and Compliance Officer. Dealing directly with and supporting/advising employees, Appointed Representative and Associate Companies regarding the Group's Compliance activities, policies, processes and procedures to ensure all Compliance requirements are met.
Key tasks:	<ul style="list-style-type: none"> • Day to day operations of the Compliance Department. • Responding to Compliance related questions & enquiries in relation to tender questions. <p>Monthly systems and control reports:</p> <ul style="list-style-type: none"> • Prepare monthly reports Recording information received from Finance and the AR into report and chase missing financial information or ICOB information so that reports can be produced in timely fashion <p>Maintaining TOBA lists:</p> <ul style="list-style-type: none"> • Assisting with collation of insurer due diligence material inc. Financial Strength rating • Update approved Insurer/RT records following approval <ul style="list-style-type: none"> • Providing advice and as necessary management of any parts of the FCA Compliance Plan and preparing reports as required. • Providing advice to staff, training and support as necessary to ensure adherence with the company's Compliance Procedures Manual. • Internal files audits in accordance with company's Internal Files Audit Plan. • Compiling regulatory returns for CSP and all sponsorship companies and ensuring they are submitted within set timescales. • The setup of compliance processes and training for all new Appointed Representatives/Sponsorship companies. • Advice & guidance on SMCR and IDD processes and procedures. • Broker Assess – assignment of learning activities and other related duties to help to ensure the minimum required CPD hours are carried out by staff. • Assisting with Data Subject Access request as and when they arise. • Maintenance of broker management system (UK and overseas) • Carrying out variety of administrative duties.
Skills and competencies:	<ul style="list-style-type: none"> • Knowledge of FCA Compliance in relation to Insurance requirements for commercial and retail business. • Ability to effectively organise allocated work activities and plan workload both on a day to day basis and throughout the month.

	<ul style="list-style-type: none">• Ability to recognise when issues need to be escalated or advised to senior colleagues.• Ability to provide advice & guidance in a practical & commercial manner.• A good understanding of IDD and SMCR regulations, processes & procedures.• Attention to detail.
Knowledge and experience desired:	<ul style="list-style-type: none">• Insurance broking background, preferably with London Market experience.• Good computer literacy including working knowledge of MS Word, Outlook, and Excel and database management. <p>Experience of following preferred:</p> <ul style="list-style-type: none">▪ Sector▪ Familiarity with FCA reporting systems▪ REG UK▪ Broker Assess