

CRISPIN SPEERS & PARTNERS LIMITED

JOB DESCRIPTION

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

Job purpose:	The role provides additional senior compliance resource to the Compliance Officer in all aspects of Compliance. 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. • Review and prepare monthly system and control reports. • Managing new and existing TOBA lists. • Management of regulatory requirements of the company and its Appointed Representatives/Sponsorship companies including setting up, monitoring, maintaining adequate and appropriate systems and controls to ensure regulatory compliance. • Review and implement regulatory changes and provide training to the business as required. • Overseeing and contributing to the company’s compliance plan to ensure it is managed in accordance with the company’s objectives. • 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. • Assisting with internal file audits. • 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. • Maintenance of the companies Compliance Manual to ensure it is meeting its regulatory obligations. • Advice & guidance on SMCR and IDD processes and procedures. • Broker Assess – assignment of learning activities to help ensure that satisfactory compliance training is undertaken by all staff and CPD levels are achieved. • Dealing with Data Subject Access request as & when they arise. • Various administrative duties as required.
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 communicate and discuss issues with senior personnel

	<p>within CSP, Associate, Sponsorship and Appointed Representative companies</p> <ul style="list-style-type: none"> • Ability to effectively organise allocated work activities and plan workload both on a day to day basis and throughout the month. • Ability to recognise when issues need to be escalated or advised to senior colleagues. • Ability to provide advice & guidance in a practical & commercial manner. • Attention to detail. • A solid understanding of IDD and SMCR regulations, processes & procedures. • Personable approach with an interest in people • Interest in FCA regulations
<p>Knowledge and experience desired:</p>	<ul style="list-style-type: none"> • Solid experience in Compliance in a similar environment, a willingness to learn and develop skills and knowledge of Insurance/ Reinsurance and Compliance principles and practice. • Good literacy skills, in particular grammar and spelling. • Proficient in the use of software packages, Microsoft Office, Word, Excel and Power point.
<p>Qualifications:</p>	<ul style="list-style-type: none"> • Minimum requirement – good grade of GCSE & A levels, or equivalent.
<p>Other:</p>	<ul style="list-style-type: none"> • Organisation skills. • Ensure high levels of confidentiality and communication are maintained at all times. • Any other duties requested by management to fulfil the Job Purpose. • To contribute to the on-going review and improvement of Compliance operational processes ensuring the delivery of an effective Compliance regime across all companies.