

ROLE PROFILE

JOB TITLE	COMPLIANCE ASSISTANT
FUNCTION	RISK & COMPLIANCE
POSITION	FULL TIME ROLE
REPORTING TO	HEAD OF RISK & COMPLIANCE
REPORTEES	NONE

JOB PURPOSE

To assist in monitoring of compliance with regulatory requirements, and internal policy and procedures. This will include risk based review and testing; data collation and reporting; and provision of support to the wider Risk & Compliance team.

The role requires a proactive individual who is conscientious and highly organised with strong communication skills, ability to work under pressure to deadlines and complete work accurately to a high standard.

KEY RESPONSIBILITIES

- Conducting monitoring reviews and tasks as part of delivery of the compliance work programme. This will include involvement in planning and performing testing; collation and documentation of results; and preparation of reports.
- Maintenance of compliance related databases
- Collation of Management Information for reporting to senior management and Board
- Involvement in specific thematic reviews and ad-hoc project work.
- Respond flexibly to business needs: providing assistance with other compliance related activities as necessary
- To build effective relationships both internally and externally relevant to the role
- To develop and maintain regulatory knowledge relevant to areas of responsibility. Also to apply knowledge to ensure regulatory compliance
- To maintain the required level of personal and professional training and competency required for the role
- Promote a strong culture of compliance

KNOWLEDGE AND EXPERIENCE

Essential

- Customer service or administrative experience
- Proficient in use of Microsoft Word and Excel
- Ability and willingness to learn

Desirable

- Experience of working in retail financial services or within a regulated environment
- CeMAP or compliance related qualification
- An appreciation of regulation and risk assessment

SKILLS AND COMPETENCIES

Essential

- Diligent and accurate
- Strong communication skills both written and verbal
- Enquiring and investigative mind set
- Organised with ability to effectively prioritise tasks and to work effectively under pressure
- Able to work independently and as part of a team

Desirable

- Can-do attitude
- Ability and desire to learn new skills

OTHER REQUIREMENTS

Essential

- Positive and professional attitude

Desirable

- Full clean UK driving licence

Applicants should send their CV and a brief covering letter to careers@theloughborough.co.uk

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