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| Title | Compliance Manager |
| Reports to | Head of Compliance |
| Met Facilities | Met Facilities provides full regulatory hosting solutions within its regulatory incubation platform providing firms with all relevant permissions, allowing them undertake a wide range of activities.  This is a varied role covering the supervision of appointed representatives and internal compliance processes. |
| Responsibilities | Participate in Executive Committee, Risk Committee (member), Managing Board (attendee) – see Terms of Reference.  Support the Head of Compliance SMF16 Compliance oversight, SMF17 MLRO, FCA complaints contact – see Statements of Responsibilities.  Act as delegate for FCA contact for compliance matters.  Act as delegate for data protection contact (**not** DPO) for the Information Commissioner.  Update and review policies and processes in designated subject areas:   * Areas comprise:   + Compliance, including assurance/monitoring programmes.   + Operations   + Systems and enhancements as part of these processes   + Data privacy and security * Identify, design and implement content. * Review content   Manage compliance monitoring programme for the firm.  Manage compliance registers and records for the firm.  Monitor regulatory landscape for changes and recommend action as appropriate.  Manage contractual relationships and agreements (review, obtain external advice, execute).  Manage relationships with selected clients (hosted business).  On an exceptional basis as required, participate in relevant Operations processes at Senior Manager or Associate level. Specifically:   * Review and approve financial promotions   Participate in Investment Committee in relation to hosted business  Own legal and compliance related risk events on the firm-wide risk register:   * Confirm event attributes (description, controls, assessments) * Keep risk area under review |
| Reporting | Assist with regulatory and internal reporting. |
| Vendors and systems | Compliance Star – manage policy, structure (CEO manages the vendor relationship).  Promapp – manage vendor, policy, structure.  Dynamics CRM – manage vendor, policy, structure.  Sharepoint – manage policy, structure (IT manages the security and vendor relationship).  Thistle (Knowledge Centre) - manage policy, structure (CEO manages the vendor relationship).  Compliance consultants and law firms – interact as necessary. |
| Qualifications / competencies | **Desirable**  Advanced qualification in compliance (CISI).  Extensive experience of UK regulatory regime and practical implementation in buy-side firms.  Extensive experience of products and processes of hosted businesses, particularly investment funds and private equity / venture capital.  Experience in designing and implementing policies and processes.  Experience in designing and implementing systems for record keeping and management information.  Experience at developing and leading a compliance team.  **Essential**  5+ years Compliance experience within the financial services sector |
| Cross-references | Compliance Star - SMCR statement of responsibilities for Head of Compliance SMF16, SMF17  Promapp – Policy / process list for roles where Owner, Expert, Participant, other stakeholder  Terms of Reference – Managing Board, Executive Committee, Risk Committee |