

Compliance Officer

Reporting to the Group Compliance Director

Location: Exeter

Purpose:

Prydis is a multi-discipline professional practice, affording you the opportunity to work alongside other professionals to provide clients with integrated solutions to meet their needs.

In a complex environment with four separate regulators, you will help to deliver compliance support to a range of businesses across the Prydis Group, ensuring we maintain the highest professional standards. The role has arisen due to the rapid organic growth of the business.

Responsibilities:

You will assist in the implementation of the Group's compliance procedures including record keeping requirements, to ensure the Group's responsibilities for preventing financial crime, securing client data, demonstrating suitability and ensuring the various regulators' rules are met.

Specific duties are defined as, but not limited to:

- Maintaining clear compliance systems, including due dates and evidencing these have been met;
- Maintaining a clear record of company policies and procedure documents including their latest review and update;
- Regular checking and maintenance of registers;
- Assistance with onboarding new advisers and other professionals within the Group;
- Ensuring adherence with the Training and Competence scheme;
- File Reviews for accuracy and suitability, providing feedback to advisers and ensuring any remedial work is completed;
- Data integrity checks to ensure we hold accurate and complete information on our clients
- Suggestion of process changes to increase efficiencies across the Group and within subsidiaries;
- Supporting the Group on compliance related issues, such as Anti-Money Laundering requirements and procedures;
- Production of management information and reports;
- Assistance with regulatory reporting, professional indemnity renewals and submission of returns.



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Relevant skills and knowledge:

The role has a heavy emphasis on the areas of the business regulated by the Financial Conduct Authority and would therefore suit someone with a sound base knowledge of financial services (preferably backed-up with some progress in exams).

Candidates will possess a keen eye for detail, good written and verbal communications skills including delivering constructive feedback to others and the ability to understand/interpret technical documents.

You will possess excellent prioritisation and time management skills, to ensure timelines and reporting expectations are met.

You must be competent in using the MS Office suite of products (in particular Word and Excel) so you are able to be self-sufficient in performing tasks such as producing letters and reports, performing calculations and preparing presentations.

Rewards:

We offer a competitive remuneration package, including basic salary, bonuses, a generous pension scheme and death-in-service benefits. Some benefits may be subject to the successful completion of a probationary period.

You will be fully supported in your training and development needs, including funding of approved exams and accreditations.

How to Apply:

If you believe you have what it takes to become a successful member of our team, please email your CV and a covering letter to paulwhite@prydis.com or post to **Paul White, Prydis Group, Senate Court, Southernhay Gardens, Exeter EX1 1NT**. Please specify the role for which you are applying and ensure you include your full contact details, so we can get in touch with you.

Prydis Group is an Equal Opportunities Employer.



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