

Job Title:	Compliance Associate
Department:	Novia Financial
Business/Function:	Risk and Compliance
Main Location:	Henry Street, Bath
Reports To:	Compliance Manager
Job Summary/Purpose	
To support the Group Head of Risk and Compliance in order to maintain a sound and robust compliance framework; appropriate to Novia Financial PLC.	
Key Responsibilities	
<ul style="list-style-type: none"> • Assisting with the production of Risk and Compliance’s Governance reporting. • Assisting with Risk and Compliance monitoring in accordance with the agreed plan. • Assisting with suspicious activity investigation and reporting. • Complaint acknowledgment, investigation and resolution. • Compliance approval of Marketing material including presentations, websites, articles and document templates. • Providing a timely and clear compliant response to business queries. • Ensuring that the business have resolved breaches in a compliant manner that treats customers fairly. • Ensuring that the business gathers sufficient records to meet compliance obligations for regulatory reporting. • Assisting with the submission of timely regulatory reporting. • Administration of systems used by Novia Risk & Compliance team. • Supporting the training and awareness of Novia policies and regulatory requirements. • Assisting with information requests from the Financial Ombudsman Service. • Assisting the Risk & Compliance team achieve its broader team objectives. <p>You will, from time to time, be required to undertake other activities that fall within your capabilities as directed by management.</p>	
Core Competencies	
<p>Business Focus The motivation and ability to apply good financial practice and company procedures at all times.</p> <p>Operational Excellence Continually delivering and improving excellence for clients and customers.</p> <p>Client and Customer Focus Add value to client/customer, adhere to Treating Customers Fairly principles, and operate as a true business partner.</p> <p>Communication Communicate clearly and concisely, tailoring content and style, with ability to make a positive impression on others.</p> <p>Expert Knowledge Consistent application of professional or specialist knowledge and skills; takes opportunities to contribute to policy and best practice.</p> <p>Working With Others Working successfully with others and building a network of good relationships in order to achieve shared goals.</p>	

<p>Performance Focus Demonstrate energy and enthusiasm, takes ownership, delivers results and improves personal performance.</p>	
<p>Key Contacts/Stakeholders</p>	
<p>Senior Management and Board members Trustees Operations Team Sales Team Regulatory Authorities Ombudsman services Third Party Compliance Contacts External Auditors Internal Auditors</p>	
<p>Specialist Skills, Qualifications and Experience</p>	
<p>Essential:</p>	<p>Desirable:</p>
<ul style="list-style-type: none"> • One year compliance experience in a financial services role (not advisory/ advice monitoring). • Two years' experience in a financial services role. • Confident interpersonal, communication and persuasion skills. • Ability to work to demanding deadlines. • Strong IT skills (Especially Excel, Word, Email). 	<ul style="list-style-type: none"> • Operationally focused, hands on style. • Ability to work within a small team. • Ability to work to tight deadlines. • Interest and commitment to improve knowledge and study for qualifications. • Complaint investigation (service or back office related). • Marketing approval.