



JOB DESCRIPTION

Risk and Compliance Executive



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Position	Risk and Compliance Executive
Department	Risk and Compliance
Reporting to	Risk and Compliance Manager
Office	Bishop's Stortford

Overall Purpose

To assist the Partners, Risk and Compliance Team and the wider firm to adhere to regulatory requirements, legislation and best practice.

Main Tasks

- » To ensure compliance with legal requirements and professional rules by the firm and its staff, working in conjunction with the firm's
 - Managing Partner (COLP)
 - Head of Risk and Compliance
 - Risk and Compliance Manager
 - Money Laundering Reporting Officer (MLRO)
 - Data Protection Officer (DPO)
 - Head of HR, Finance and IT
- » Complaints handling, to include liaising with clients and staff, investigating concerns and preparing written and oral responses
- » Conducting regulatory and thematic file reviews and managing the firm's central record in this regard
- » Assisting with data protection compliance including the management of data subject access requests and review of data breaches
- » Responding to day-to-day queries from staff on issues such as AML, sanctions, confidentiality, and conflicts of interest
- » Reviewing and improving the firm's policies, procedures and client facing information
- » Updating the Risk and Compliance Team records, analysing data and producing reports where required
- » Assisting with notification requirements under the firm's professional indemnity insurance

- » Assisting with Lexcel, Customer Service Excellence and Conveyancing Quality Standard compliance
- » Attending the firm’s London office and external meetings as required

This job description is not a definitive list or exhaustive list of responsibilities but identifies the key responsibilities.

Job Specification

	Essential	Desirable
Education Qualifications	Educated to at least A Level	Degree Level Admitted to the Role of Solicitors or CILEX Qualification
Experience	Experience in a Risk and Compliance role within the legal sector Good working knowledge of Solicitors Regulation Authority Handbook, AML, sanctions, data protection and other relevant legislation and professional rules	
Personal Attributes	Well organised Can use own initiative Can prioritise workload	
Competencies	Computer literate with ability to use Excel, Word, Teams and Outlook Good communicator both oral and written Works well in a team	
Other Factors	Understanding of law firms and commercial practice Understanding of professional indemnity insurance Can work to deadlines Works well under pressure	

March 2024