



JOB DESCRIPTION

Regulatory Associate



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Position	Regulatory Associate
Department	Risk & Compliance
Reporting to	Head of Risk & Compliance
Office	Bishop's Stortford

Overall Purpose

As part of our in-house Risk and Compliance Team, you will provide specialist legal advice and support to management and staff on all aspects of regulatory compliance affecting the firm. This is a key role, helping to ensure that the firm continues to meet its regulatory obligations and maintain high standards of client care and compliance.

Main Tasks

- » Supporting the firm's Compliance Officer, Money Laundering Reporting Officer and Data Protection Officer on the SRA Standards and Regulations, anti-money laundering compliance and data protection, including assisting with any audits and investigations
- » Providing clear and practical advice to staff on regulatory issues and queries, for example, confidentiality, conflicts of interest and separate business requirements
- » Reviewing and updating the firm's suite of compliance policies and procedures and communicating changes to staff
- » Advising on complaints handling and responding to high level complaints including liaising with the Legal Ombudsman where appropriate
- » Supporting staff with professional negligence matters and liaising with insurers
- » Assisting with renewal of our professional indemnity insurance, directors' and officers' insurance and other policies of insurance
- » Designing and delivering training for staff on compliance and regulatory matters
- » Conducting Regulatory, AML and PEP file reviews and liaising with staff on corrective action
- » Preparing and renewal of the firm's quality accreditations and ensuring compliance with the accreditation standards

- » Undertaking risk assessments of third-party suppliers and reviewing contracts for compliance
- » Monitoring the evolving regulatory landscape and suggesting and implementing changes to ensure the firm's continuing compliance
- » Monitoring any risks in connection with our separate businesses
- » Assisting with the production of reports for the partners on all areas of risk and compliance
- » Supporting the Head of Risk and Compliance with any other aspects of risk and compliance

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

Job Specification

	Essential	Desirable
Education Qualifications	Qualified lawyer with a minimum of 3 years' experience	
Experience	<p>Prior experience in a risk, compliance or regulatory advisory role within a law firm or having worked for a regulator</p> <p>Experience of handling complaints and/or professional negligence claims</p> <p>Experience in reviewing third party contracts</p> <p>Experience of reviewing and drafting policies and procedures</p>	<p>Previous experience of dealing with quality accreditations desirable</p> <p>Experience of handling complaints and professional negligence claims</p> <p>Experience of leading and managing a team</p> <p>Experience in delivering training sessions</p>

Personal Attributes	Integrity and professionalism	
	Meticulous attention to detail	
	The ability to balance regulatory obligations with practical advice	
	Strong interpersonal skills to build good working relationships internally and to be able to explain rules and regulations in plain English	Ability to train, coach and mentor colleagues within the team
	Confident when dealing with third parties, such as clients, regulators, ombudsman services, assessors etc	Ability to develop and express creative proposals for continuous improvement of services
	Resilient under pressure	A commitment to Lexcel/Quality Management standards
	A proactive, solutions-focused approach	Ability to develop leadership skills
	Able to manage multiple tasks and deadlines	
	Can work independently but also collaboratively within a team and across teams	
	Proactive in keeping up to date with evolving regulations, new guidance and practice notes etc	

Competencies	In-depth knowledge of SRA Standards and Regulations, AML legislation and data protection.	Familiarity with compliance technology tools
	Ability to advise on complex regulatory requirements	
	Excellent IT skills, including use of case management systems and Office 365	
	Ability to identify and assess risk and to use trend analysis to recommend changes	
	Effective at managing regulatory change and implementing continuous improvement initiatives	
	Competent in managing, coaching and developing a team effectively	
Other Factors	Interest in emerging risks around AI and cybersecurity	

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