

## Vacancy Title

Compliance Assistant

## Employer Name

Truly Independent Ltd

## Number of employees

7 based in Carlisle office  
60 Financial advisers self-employed working throughout the UK

## Detailed employer description

Founded in 2010, Truly Independent Ltd is a firm of experienced Independent Financial Advisers who provide a traditional method of face to face financial planning.

We are strong believers that everyone should have access to financial advice that is not governed or influenced by others. We have an extensive level of knowledge, experience and expertise, and have the freedom to research the whole market to get the best deal for our clients. We work in partnership with our clients to meet financial aspirations and recognize the importance of providing long-term on-going assistance and guidance.

For more information please visit: [www.trulyifa.co.uk](http://www.trulyifa.co.uk)

## Full Description of position

Due to the continued growth of Truly Independent we currently have a fantastic opportunity in our Compliance team. Reporting to the Compliance Oversight Officer, you will be involved in all areas of the compliance department and its functions. This role is the perfect opportunity for a qualified compliance professional looking to further their career, supporting business growth & development, and helping manage and mitigate risks in a growing IFA business.

## Duties to include, but not limited to;

- Post Sale Case Checking
- Pre Sale approval of new business
- File audits
- Works with the compliance team to help monitor and assess compliance with rules and guidance
- Works with the compliance team to help training and development of advisers
- Helps train and develop more inexperienced staff within the department.
- Updating data records on internal and external software
- Using the in-house computerised system to support advisers
- Interacts with providers and advisers



- Maintains accurate records and enters data
- Conducts research and compiles data
- Interacts with directors when necessary
- Engages in further qualification opportunities as needed

## Skills required

- Experience in a compliance related function
- Detail oriented and accurate
- A good problem solver
- Articulate and a good communicator
- Good with English (verbally and written)
- Punctuality
- Comfortable operating digitally, in a paperless environment
- Flexible and able to prioritise a changing to do list

## Personal Qualities

- An efficient and professional attitude
- An honest and reliable character
- Trustworthy and reliable
- Super organised
- Friendly and helpful
- Self-motivated
- Able to work under their own initiative

## Qualifications Required

Level 4 qualification in financial services

Reference ID: Compliance Assistant

Application deadline: 28/03/2022

Job Types: Full-time, Permanent