

Job Specification

Title: Compliance Assistant

Department: Risk & Compliance

Reporting to: Compliance Manager

The Risk & Compliance Department

This is a fantastic and rare opportunity to join our friendly, well-respected Compliance team. The department currently consists of the Head of Risk & Compliance, Compliance Manager, Compliance Officer, Compliance Assistant and Debt Recovery Solicitor.

As the Risk & Compliance department grows, our aim is to recruit astute, motivated and enthusiastic individuals to represent the Fladgate brand. We offer exceptional training and career development and the opportunity to learn from some of the best in the business.

The Role / Duties & Responsibilities

As a Compliance Assistant, your role is to work with the Chief Operating Officer (COO), the Money Laundering Reporting Officer, Compliance Manager, Compliance Officer, the Head of Risk of Compliance, partners and fee earners to assist with KYC and to ensure that the firm complies with regulations relating to money laundering, the Proceeds of Crime Act 2002, the Terrorism Act 2000 and any amending legislation.

In addition, the Compliance Assistant will be responsible for checking new client/matter requests for money laundering, credit worthiness and other client verification and acceptance procedures that the firm operates. You will also assist the Compliance Manager and Head of Risk & Compliance with other compliance and regulatory issues as required.

Responsibilities Include:

- opening new clients and matters on the firm's system;
- carrying out KYC with the addition of risk analysis relating to each client, ensuring all new clients are appropriately vetted and checks carried out in line with the firm's compliance requirements;
- reopening matters on the firm's system;

- dealing with queries from finance, partners, fee earners and other staff relating to money laundering checks;
- keeping accurate and up-to-date records of all contact with partners/fee earners and ensure there is a full audit trail;
- maintaining the team's new clients and new matters record;
- assisting with data cleansing projects;
- assisting with updating KYC for long-standing clients of the firm;
- supporting the Risk & Compliance Manager and Compliance Officer on day-to-day tasks and projects (both new and ongoing);
- maintaining excellent knowledge of client checking and money laundering procedures and the relevant regulation;
- assisting with annual high risk client reviews;
- assisting with the firm's annual internal audit;
- assisting the COO, Risk & Compliance Manager and Head of Risk & Compliance with the development of the firm's AML processes and procedures;
- dealing with general internal and external client queries; and
- administrative duties such as filing, ensuring that all filing is accurate and up to date at all times.

Person Specification

Our ideal candidate will have:

- good academics, including a minimum 2.1 at degree level, with strong GCSE and A level results (or equivalent) in Maths and English;
- strong verbal and written communication skills;
- at least 12 months' experience of working within a law firm in a busy AML role;
- good knowledge of AML requirements for non-UK based clients, both European and worldwide;
- good working knowledge of Microsoft Office packages, working knowledge of an accounts package (e.g. CMS Aderant Expert) would also be advantageous;
- high level of numeracy (as indicated by strong academics in mathematics);
- a calm and unflappable nature, with the ability to work under pressure and to tight deadlines;
- a professional, willing and proactive approach, with a keen attention to detail; and
- the ability to work with limited supervision, with good time-management skills.

You will be a confident communicator with a positive work ethic and the ability to build credible relationships with clients both internal and external. We are looking for an individual who presents themselves with professionalism and polish, who will inspire the confidence of clients and colleagues.



About Us

Fladgate has a broad skills base that covers a wide spectrum of legal services across the business lifecycle and shaped to operate collaboratively to move fast and flexibly:

- Dispute Resolution: which includes regulatory, corporate governance and investigations, banking and financial services litigation, international commercial arbitration, insurance, contentious trusts and family, civil fraud and asset protection
- Corporate: including private capital, capital markets, M&A, tax, restructuring and employment
- Real estate: including planning, construction, real estate finance and real estate litigation.
- Funds, Finance and Regulatory: including investment funds, private equity, fund managers, asset and investment managers, promoters, sponsors and investors

Fladgate is a nimble 80 partner law firm known for its ability to work on fast moving, complex challenges requiring enterprising and commercial solutions.

In addition to advising a substantial UK-based client base, the firm provides a proactive and efficient service for clients with international business through specialist groups which serve continental Europe, India, Israel, South Africa, the Middle East, Russia/CIS, US, Canada and the Asia Pacific region. Operating from London and comprising multilingual and multi-qualified lawyers, these groups facilitate cross-border activities for a diverse range of companies. The firm is a member of the International Lawyers Network, a worldwide non-exclusive association of high-quality full service law firms based in 67 countries.

For more information visit our website at www.fladgate.com

Inclusion & Diversity



"As the new Senior Partner of the Firm, I am acutely aware that our vision and values are built around the word 'personal'. We are a people business dependent on brilliant client relationships. Inclusion and diversity objectives are therefore not 'soft' business aspirations, they are fundamental to our success"

Sunil Sheth, Senior Partner



I&D - Our focus

We know that to achieve our inclusion and diversity objectives we need to focus on a number of areas:

- Developing a diverse leadership - we have a mix of different ethnicity and genders on our leadership groups. We are working hard to improve the gender balance of our partner team and in the last 18 months 4 out of 9 people joining the partnership were women.
- Attracting a diverse work force. This means adopting a properly personal approach when connecting with those interested in joining our team including: ensuring fairness in our processes; working with those, like recruiters, who help us in this; a commitment that you will always meet male and female talent in our recruitment interviews;
- Engaging with everyone in our team to ensure they are heard, supported and understood. Encourage everyone to develop their own voice in shaping our culture, their future and our service to clients. That might be working flexibly or that might be a specific career programme - everyone needs different things at different times.
- Helping all our people in all roles to achieve their full potential. We provide training, coaching, internal mentors and buddies, whatever works for each individual and their own personal development path.

For everyone including our clients we are striving to:

- Ensure that contact with us, including for example at events we organise, is always inclusive and appropriate for all, all preferences will be catered for.
- Endeavour to ensure our teams working on different client matters reflect the right balance of gender and ethnicity.
- Develop and support our client's own inclusivity and diversity objectives by running industry specific workshops and seminars together.
- Have regular open conversations with clients about progress around inclusion and diversity.



Women in Law Pledge



Benefits

We reward our staff for their continued commitment to the success of this firm with a comprehensive range of benefits.

On joining:

- Life assurance scheme – 4x annual salary (non-contributory)
- Annual holiday entitlement – 26 days per calendar year (full time)
- Flexible holiday scheme - buy up to five days extra holiday per annum
- New business bonus - calculated as a percentage of work introduced
- Staff introduction bonus - £1,000- 5,000 depending on vacant role
- Personal training/yoga – free weekly sessions
- Free online GP service - 24/7 online video GP consultations

After 2 months:

- Group personal pension plan - 4%-5% employer contributions, matching employee contributions of 4% -5% (automatically enrolled). Processed via salary sacrifice 50% of employer NI savings added to contribution

After 3 months:

- Company sick pay scheme
- Group income protection
- Season ticket loan
- Private Dental Plan – payable through monthly payroll
- Gym membership scheme – interest free gym membership loan
- Eye test vouchers – every two years

After 6 months' service and end of probationary period:

- Private medical scheme insurance medical insurance scheme (non- contributory)

Dress for your day policy: Our intention is to allow our people to choose a dress code suited to their daily schedule in order to maximise comfort while still maintaining a professional image.



Parental Leave & Maternity Policies

Our aim is to create a culture where our people can thrive and feel supported at work. As such, the firm's approach to parental leave is designed to ensure that anyone who is a parent or is expecting to be a parent has a positive experience prior to parental leave, during their parental leave and upon their return to work whichever type of leave they decide to take.

Our parental leave policies* cover:

1. **Maternity** - We offer both statutory maternity pay (SMP) and enhanced maternity pay (EMP), subject to eligibility*. If eligible, EMP provides 100% of your salary in weeks 1-12 and 50% of your salary in weeks 13-24. Weeks 25-39 are at the government set rate (or 90% of salary, whichever is lower). In order to receive EMP, you must undertake to remain continuously employed by the Firm and to return to work for a period of at least 6 months from the date of your return to work before providing notice of resignation*.
2. **Paternity** – We offer enhanced paternity pay (EPP) as full basic pay for up to 2 weeks*.
3. **Shared Parental Leave (SPL)** – SPL allows parents to take up to 50 weeks' shared leave in total following the birth or adoption of a child*.
4. **Adoption and Surrogacy***
5. **Ordinary Parental Leave** – Allowing up to 18 weeks unpaid leave for employees who have parental responsibility for a child / children*.

*Full details can be found in our staff handbook, which will be provided upon offer of employment.

Flexible working

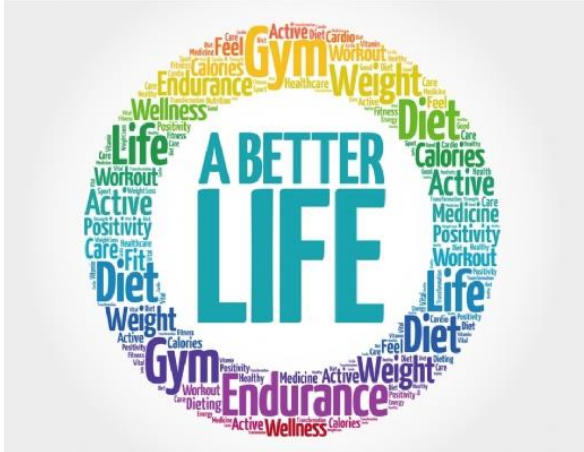
At Fladgate, we recognise the importance of an agile approach, not only in the way we work with our clients, but our employees also. Flexible working allows our people to cut down their commute time (and cost!), organise their own day and ultimately have an improved work / life balance, all of which contributes to an improved experience as well as better wellbeing and engagement.

Flexible working at Fladgate varies depending on your role and responsibilities. As a general rule, for those who can work from home and have roles compatible with home working, we are operating a hybrid pattern of 2-3 days remote and 2-3 days office based. This is subject to change as the role necessitates and not a contractually binding agreement (unless stated otherwise).

Further clarification of this policy will be provided during the recruitment process.



Wellbeing



The firm recognises the importance of the health and wellbeing of all our people and that it can play a part in promoting an environment which allows everyone to flourish and reach their full potential.

Our Wellbeing programme consists of four key pillars:

Physical Health

- Bupa private medical insurance (optional benefit to join after six months' service)
- Eye test vouchers
- Optional dental insurance
- Flu jabs
- Weekly personal (group) training sessions
- Gym and sports club loans and cycle to work scheme
- Various sports teams and groups across the firm



Mental Health

- Employee Assistance Programme (EAP), available 24/7 and 365 days a year
- Counselling sessions available via the EAP where needed
- YuLife health and wellbeing app
- Annual holiday entitlement and flexible holiday scheme, and the opportunity to buy up to an additional two weeks' holiday
- Resilience and stress management training
- Mental health awareness talks and training sessions



Financial Health

- Group personal pension and group income protection scheme
- Life assurance (4x salary) scheme
- Season ticket loans
- Fee-earner bonus scheme
- Client introduction bonus scheme
- Recruitment bonus
- Marriage / civil partnership gift
- Financial management workshops inc. mortgage and pension management



Social & CSR

- Sports and social events, organised by our Sports & Social Committee throughout the year inc. summer and winter parties, bowling nights and quizzes
- CSR committee and fundraising activities
- Flexible working policy
- Loyalty holiday bonus, rewarding long service
- PRIME work experience opportunities
- Student mentoring for LPC and GDL students at the University of Law

