



Heartwood

Part of the Handelsbanken Group

Compliance Manager

About us

Heartwood Wealth Management Ltd is the investment and wealth management business of Handelsbanken in the UK, the Swedish bank that has been growing its local branch network rapidly in the UK. Our external facing brands are now: Heartwood Investment Management and Handelsbanken Wealth Management.

For more than 25 years, Heartwood has been trusted by customers, including many business leaders and sophisticated financial professionals, to manage their wealth prudently and in line with their individual requirements. We have maintained our customer-led ethos throughout, and evolved into a company known as much today for the multi-asset-class investment skills as for our high quality wealth management services. Total AUMA are currently £2.8 billion (as at September 2016) and our clients range from city professionals and private individuals to trusts, charities and Financial Planner firms - the latter supported through a dedicated intermediary team.

In 2013, Heartwood became part of Handelsbanken, a natural merger given both companies' primary focus on customer service and satisfaction. Having developed a substantial British branch network based on the warm reception for its local, highly personalised banking services, the relationship bank was keen to meet growing customer demand for wealth management services.

This is an opportunity to join a successful and fast-growing national organisation with the added benefit of being part of a significant international presence through the Handelsbanken Group. Heartwood continues to invest in broadening and improving the range of services provided to its clients, which today includes many customers of Handelsbanken.

At Heartwood, we are deeply committed to embedding good equality and diversity practice into all of our activities so that Heartwood is an inclusive, welcoming and inspiring place to work, regardless of age, disability, gender reassignment, marital status, pregnancy and maternity, race, religion, sex or sexual orientation.

We encourage and welcome applications from across the global community and all appointments are made solely on merit.

Salary & benefits

- Competitive market rates
- Group Personal Pension Scheme, Private Medical Insurance, Life Insurance, Income Protection Insurance, preferential staff rates, minimum of 25 days holiday, Season Ticket Loan

Our role

This role will act as a Compliance Business Partner for Heartwood Investment Management (HIM), working proactively with the business to facilitate its growth in a compliant manner, while mitigating and preventing or controlling identified risks within HIM. A proactive, solutions-based approach is essential.

Main responsibilities

- Responsibility within Heartwood's Compliance function for the provision of advice, support, training and guidance on regulatory matters to HIM
- Formulating solutions for the business, which ensure regulatory compliance in a pragmatic, business-friendly manner
- Ensure an effective Compliance culture within HIM, whilst proactively supporting the business as HIM's Compliance Business Partner
- Review regulatory papers to determine their relevance and impact on the business and implement, or assist in and advise on the implementation of, any changes required, focussing on MiFID II requirements in Best Execution, Transaction reporting, Inducements, Conflicts of Interest and Product Governance.

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heartwoodgroup.co.uk

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Heartwood is a trading name of Heartwood Wealth Management Ltd which is authorised and regulated by the Financial Conduct Authority in the conduct of investment business, and is a wholly-owned subsidiary of Svenska Handelsbanken AB (publ). Registered Head Office: London address above.

Registered in England Number: 4132340.

- Deal with regulated fund (NURS) related queries, including liaising with the ACD on fund breaches, eligible investments and attending regular service review meetings
- Assist in AML related queries and hold the position of deputy MLRO
- Working with the Monitoring Manager and to assist HIM in addressing actions arising from monitoring action plans
- Escalate any regulatory risks to the Head of Compliance or others appropriately
- Monitor outside developments in the wider financial services sector and proactively share best practice
- Record exceptions, breaches, near-misses and compliments and monitor and report on these
- Review and approve financial promotions in a timely manner
- Undertake regulatory due diligence on third parties, if required
- Make, assist with or supervise required reports to the regulator
- Maintain and monitor an efficient and compliant system for the handling of complaints
- Deal with complaints
- Monitor and sign off all aspects of new client documentation
- Liaise with the Compliance and Risk Control teams of Handelsbanken, as appropriate
- Maintain up to date procedures in the Compliance Manual, where they are relevant to HIM
- Assist the Head of Compliance with aspects of his role, as necessary
- Act as alternate for the Head of Compliance in attending internal and external committee or management meetings, as required
- Minute meetings, if required
- Ad hoc project work

Person specification

Interpersonal skills:

- A solutions-based approach which understands the commercial objectives of the business
- Strong written and verbal communication skills
- An understanding of prevailing market trends, issues, themes and current newsworthy deals
- Self-confidence and self-motivation
- Good problem-solving and decision-making abilities
- Ability to provide focussed and effective training
- Attention to detail and accuracy
- Time management
- Ability to maintain confidentiality

Academic:

- Good secondary education i.e. preferably, primarily As and Bs at A level or equivalent
- University education, or equivalent, desirable
- Investment or Financial Planning qualifications preferred

Experience:

- Excellent knowledge of regulatory process and requirements within the asset management sector, including the COLL Sourcebook and the structuring of collective investment schemes
- Thorough understanding of investment management principles and processes
- Proven experience within the asset management sector
- Ability to assess risk to the business and to escalate where required
- Confidence to liaise with staff and external parties, including the regulator, at all levels
- Extensive advisory compliance experience, with evidence of balancing regulatory requirements with commercial pressures

Contact

Please send your CV and cover letter to careers@heartwoodgroup.co.uk. For any further questions please contact 020 7045 2606.