



About us

Heartwood is a wholly owned subsidiary of the Handelsbanken Group and is responsible for all wealth and investment management activities of the Group in the UK. Handelsbanken offers local relationship banking, advice and investment management (provided by Heartwood Investment Management) to personal and corporate customers through its fast-growing network of over 200 branches across the UK. Our success is evident from the significant organic growth achieved in recent years, and we now have more than £3.3 billion of client funds under management and administration ('AUMA') as at 1 December 2017. For over 25 years we have been trusted by investors such as FTSE 100 directors, entrepreneurs, leading UK charities, pension funds, private equity partners and hedge fund managers.

Founded in Sweden, Handelsbanken has become one of the world's strongest banks, with a culture focused on client satisfaction.

This is an opportunity to join a successful and fast-growing national organisation with the added benefit of being part of a significant multinational group.

Handelsbanken Group 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, pregnancy and/or parental status, ethnicity, religion, sex, gender reassignment 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, 25 days holiday, season ticket loan, long term profit sharing scheme

Our role

This role will act as a Compliance Associate supporting the compliance advisory team. A proactive, solutions-based approach is essential, ideally with some compliance or risk experience in combination with very strong administrative skills.

The role will ideally be based in London or can be split between our offices in London and Tunbridge Wells. If based in Tunbridge Wells, travel to the London office will be required frequently.

Main responsibilities

- Support the team in executing agreed parts of Heartwood's Compliance plan
- Contribute to an effective Compliance culture within Heartwood
- Assist in establishing and maintaining a framework to ensure adequate identification, assessment, communication, control and monitoring of compliance and regulatory risks
- Assist in regulatory compliance
- Working with the Compliance Advisory Managers, assist in the establishment of adequate in-house controls and compliance procedures, thereby ensuring operation within regulatory requirements
- Production of high quality reports arising from regular or ad-hoc compliance reviews/sample testing which succinctly prioritise important issues

- Minute meetings such as monthly monitoring meeting and department reviews
- Assist the Compliance Manager (and Deputy MLRO) with all aspects of their role, as necessary
- Monitor outside developments in the wider financial services sector to maintain an up to date knowledge and awareness of relevant issues and future trends

Person specification

Interpersonal Skills:

- Strong written and verbal communication skills
- An understanding of prevailing market trends, issues and themes
- 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 and organisation
- 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 (minimum IAC or equivalent) preferred although some relevant experience equally attractive

Experience:

- Proven experience within financial services, preferably within the wealth management sector
- Proven experience of enabling positive change to a business where the change assisted in improved client service, reduced costs and resource efficiency
- 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

Skills:

- Research skills and curiosity about Financial Services Law, regulation and how that works in practice.
- Excel Skills – Intermediate/Advanced
- Word Skills - Intermediate
- PowerPoint Skills – Intermediate/Advanced
- Microsoft Project – Basic, not essential
- Confidence and ability to use external/internal systems
- Documenting results, writing succinct reports from review findings and communicating effectively in writing

Contact

Please send your CV and cover letter to careers@heartwoodgroup.co.uk.