



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 £4.0 billion of client funds under management and administration ('AUMA') as at 31 December 2019. 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.

If you would like to find out more about what it's like to work at Heartwood please follow the link below:

<http://www.heartwoodgroup.co.uk/about-us/our-culture/>

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

- We are looking for a Compliance Associate to join the Heartwood Investment Management team. This role will assist in advising on and monitoring the effectiveness of the controls that ensure regulatory compliance and manage risk.

Main responsibilities

- Contribute to an effective Risk & Compliance culture within Heartwood Investment Management, whilst proactively supporting the business as their first line of defence.
- Assist in establishing and maintaining a first line framework to ensure adequate identification, assessment, communication, control and monitoring of risks within Heartwood Investment Management.
- Assist in the design and establishment of adequate in-house controls and procedures, there by ensuring operation within regulatory requirements.
- Assist in the implementation of the first line monitoring programme including:
 - Conducting regular reviews of suitability.
 - Monitoring the effectiveness of controls, procedures and processes within the Wealth Management Team.
 - Liaising with the business to ensure timely completion of actions arising from the monitoring programme.

- Identifying themes and trends arising from the monitoring programme and escalate these to the Compliance Manager and Leadership Team as necessary.
- Producing high quality management information and KPIs arising from the monitoring programme which highlight important issues.
- Provide advice, support, training and guidance to Wealth Management Team.
- Assist in formulating solutions for the business, ensure regulatory compliance in a pragmatic, business-friendly manner.
- Work with the second line compliance team and business to implement regulatory change as required.
- Escalate any regulatory risks to Compliance Manager or others as required.
- Act as alternate for the Compliance Manager in attending internal and external committee or leadership meetings.
- Provide guidance and support to projects where relevant.

Person specification

- Be business-orientated and focus on the client outcomes
- Have good administrative order including adherence to all risk and compliance policies
- Take a long-term approach
- Have the courage to make decisions
- Be innovative and proactive
- Take responsibility for own development
- Have high ethical and moral standards
- Collaborate with others to achieve joint goals
- Contribute to the development of operations and colleagues
- Take leadership of own performance

Contact

Please send your CV and cover letter to careers@heartwoodgroup.co.uk. For any further questions please contact 020 7045 2599