



Compliance Assistant

Gem Compliance is a leading compliance and regulatory consultancy, which is a member of the [APCC](#). It provides outsourced compliance advisory and support solutions for small to medium sized financial services firms throughout the UK. This includes compliance function support services to regulated firms including an associated, directly authorised (by the FCA) investment management business that acts as principal to a number of appointed representatives and investment manager to a number of funds.

We are looking for an enthusiastic and motivated individual, who is keen to apply their learning or practical experience to real-life business scenarios and supplement it with hands-on business experience, to join our small team as a Compliance Assistant.

This is a varied role in a growing business, providing administrative compliance and investment-related support to all areas of the business. There may also be the opportunity to develop aspects of the role to the individual's specific interests.

As well as providing us with additional resources, we hope there will opportunities for us to learn from the individual and will facilitate this by endeavouring to make the individual feel part of the team and comfortable sharing their ideas and their opinions.

We're looking for help primarily with:

- Onboarding of investors including support on 'Know Your Client' processes and investment subscriptions
- Administrative support on investment recommendations and investor reporting
- Administrative support with FCA applications for firms and individuals including support on extensive due diligence/background checks
- Assisting the team with various regulatory filings
- Helping the team to establish, co-ordinate and successfully operate various compliance and investment related processes.
- General administrative tasks such as minute taking
- Writing and issuing of the monthly newsletter and website/social media posts

We think candidates would have a number of the following:

- completed a degree, modules, apprenticeship or professional qualification relevant to financial services or that cover analysis of finance, business or markets
- looking to better understand how the UK's financial services industry operates particularly more specialised/innovative areas of the industry
- be able to follow instructions/design briefs but do so with attention to detail and initiative
- have a flexible and proactive nature
- work well both in a small team and independently
- good communication skills
- good organisational skills
- strong IT skills
- good working knowledge of Microsoft office, or equivalent, packages

We see the following benefits for the successful candidate:

- gain valuable and relevant, general and specific, business experience to assist their career development
- opportunity to learn from, and make connections with, industry professionals in the fields of regulatory compliance and financial services
- gain exposure to evolving and innovative businesses operating in areas such as FinTech, 'tech for good', and the circular economy
- work for an open and inclusive organisation that genuinely cares about the wellbeing and opinions of its staff

- includes an induction process and ongoing training necessary for the role and extra training where the opportunity or interest arises
- flexible working arrangements: the location of the role will be office-based in the centre of Edinburgh with the potential to move to a hybrid model of office and remote/home-based working further into the employment
- competitive salary and benefits package reflecting either a part time or full time role

The selection process will involve the following stages:

- Review of CV and covering letter
- Video interview with the Managing Director and another member of the senior management team of approximately an hour in length
- Written exercise
- Follow-up discussion with the firm's Non-executive Director

Interested candidates should email Gillian Gallacher with their CV and a short covering letter outlining their suitability for, and interest in, the role to gillian@gemcompliance.com.