

Compliance Officer Role

Reporting Line: Reports to MLRO, COLP, and COFA.

Job Purpose

To ensure the firm meets all regulatory obligations under AML regulations, SRA standards, and data protection legislation, supporting the MLRO, COLP, and COFA in maintaining a robust compliance framework.

Key Responsibilities

1. Regulatory Compliance

- Support MLRO, COLP, and COFA with compliance queries and reporting.
- Maintain and update compliance policies, including AML, SRA, and data protection.
- Manage compliance registers (breaches, complaints, high-risk matters).
- Coordinate Lexcel, CQS, and other accreditation processes.

2. AML Oversight

- Assist MLRO in monitoring transactions and handling SARs.
- Ensure AML training and maintain records.
- Conduct risk assessments for high-risk matters.

3. SRA Standards

- Ensure adherence to SRA Accounts Rules and Code of Conduct.
- Oversee internal audits and compliance reporting.

4. Governance & Support

- Prepare compliance reports for senior leadership.
- Assist with GDPR, data protection, and cyber compliance.

Skills & Qualifications

- Strong knowledge of AML, SRA, and data protection regulations.
- Experience in legal compliance within a law firm or regulated industry.
- Excellent organisational and communication skills.
- Ability to deliver training and manage firm-wide processes.