



## THACKRAY WILLIAMS

### JOB DESCRIPTION

**The role:** AML/Compliance Manager

**Reporting to:** Risk and Compliance Manager

**Location:** Bromley or Sevenoaks

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#### Role Purpose

A solid second in command to the Risk and Compliance Manager to assist in guiding and supporting Partners, other members of the risk and compliance team and the wider firm in day to day risk and compliance matters. The role holder will also have the ability to caretake the function in the absence of the Risk and Compliance Manager.

Working closely with the COLP and Risk & Compliance Manager on a broad range of risk and compliance responsibilities including conflicts and reporting, AML and complaints and claims. In addition to all round risk and compliance knowledge and experience, the role holder will have demonstrable working knowledge and experience of AML as they will be the overall specialist in the team in this area.

#### Ideal candidate

They should preferably have been in a similar role within a law firm with experience of managing risk and compliance processes and with good knowledge of SRA and statutory requirements. Have legal or related qualifications and excellent IT skills including using a case management system. Strong communication skills, ability to influence and a professional and proactive approach are essential.

#### The main duties and responsibilities of the role

- Be a key source of information, advice, guidance and training to help everyone in the firm work in compliance with policies and procedures developed from professional rules and statute (including Data Protection Act 2018, Legal Ombudsman Scheme Rules, Money Laundering Regulations 2017 and SRA Standards and Regulations).
- To lead on developing policies, systems and procedures for AML Compliance, in particular in relation to the recent LASG Guidance and advising on all aspects.
- Monitor progress on achieving and maintaining compliance with the Lexcel standard, ensuring that the firm is in a state of readiness for annual reviews by the assessor.

Bromley

London

Sevenoaks

West Wickham



- Lead the administration of core compliance functions and line manage the Risk and Compliance Assistants.
- Support the firm's Designated Complaints Handler with investigating coordinating and determining our response to escalated complaints.
- Administer SRA and professional negligence matters under the direction of the COLP or Risk and Compliance Manager including keeping accurate records as necessary.
- Renewing of practicing certificates and other accreditations and panel memberships.
- Monitor departmental risks and work with department managers and leaders to ensure that local risks are regularly reviewed and remedial actions monitored where applicable.
- Complete targeted audits and deliver feedback on specific areas of practice improvement and trends that may impact more widely on whole firm compliance.
- Review, monitoring and updating the firm's policies & procedures maintaining Terms of Business and liaising with department heads in updating terms of engagement letters.
- Ensuring new starters and existing staff are adherent to internal risk management, quality procedures and general compliance awareness
- Liaising with Heads of Departments, Team Leaders and managers ensuring data protection compliance

#### About the candidate

- A well-formed understanding of the Lexcel Standard and regulation in the legal sector
- Capable of delivering clear, concise documentation and accessible training.
- Able to influence and work confidently with lawyers, managers and staff to maintain and improve standards of performance.
- Excellent IT skills including the ability to confidently use the suite of Microsoft packages and a range of internet and network-based products.
- Able to research and paraphrase regulatory and statutory documentation.
- Strong administrative, analytical and organisational skills.
- Able to coordinate delivery of compliance activities by others.
- Capable of collating information from a variety of sources and constructing clear documents.
- Professional outlook, highly organised, able to multitask and meet deadlines.
- Ability to supervise others in a style that demonstrates the values and culture of the firm and work collaboratively with others.
- Articulate and able to deliver clear, positive messages about complex subject matter.
- Resilience and determination to support risk and compliance processes.
- Detail orientated and able to take ownership of tasks.

#### Core Competencies

The firm has a comprehensive set of core competencies that represent the behaviours we require from all staff within the firm. Incorporated within this framework are our core values of;



- Honesty and integrity
- Open to change
- Pursuit of excellence
- Supportive of others

The core values are central to the ethics of our firm and must be displayed to the highest level at all times. The individual core competencies aligned to this role are;

- Communication
- Attention to detail
- Technical expertise
- Building Rapport
- Professionalism and confidentiality
- Understanding the bigger picture
- Organising and Prioritising