THACKRAY WILLIAMS

JOB DESCRIPTION

Job Title:	Junior Risk and Compliance Officer
Reporting to:	Head of Risk and Compliance
Hours:	Full Time
Location:	Bromley

The Role

The Risk and Compliance department develops and maintains the Firm's Risk Management policies, controls and procedures and ensures that they are implemented and adhered to across the firm. They also provide general advice, guidance, updates and where necessary training on regulatory and compliance issues.

The Firm is seeking a full-time Junior Risk and Compliance Officer to provide administrative and professional support to the team. The successful candidate will be bright, energetic and enthusiastic. The role requires a team player who is organised, is confident working under pressure yet has good attention to detail.

A professional approach along with excellent communication skills and discretion will be necessary since the role will involve dealing with employees, partners, solicitors and external agencies.

Excellent IT skills and previous relevant experience and understanding of risk and compliance processes are essential. Experience in the legal sector an advantage.

The main duties include but are not limited to:

- Responding to general compliance questions from colleagues received into the Risk and Compliance inbox (such as queries relating to client onboarding, source of funds checks and GDPR).
- Discounting and managing flags that arise on electronic AML checks.
- Assisting in the drafting and maintenance of the firm's policies, controls and procedures.
- Assisting to maintain our Lexcel, CQS, WIQS accreditations and other relevant standards through the administration of scheme and mandatory annual training and preparations for the various audits.
- Assisting in monitoring compliance of the firm's AML/onboarding procedures through file audits and reporting on trends.
- Where required conducting searches carrying out electronic AML and conflict checks.
- Assisting in the administration of the firm's file review process and ensuring firm wide completion and rectification of non-compliances within 28 days and reporting on trends.
- Managing new joiners' registration/departures on mySRA and other relevant sites.
- Assisting in relation to the notification of professional indemnity claims through determining if there is a reportable incident and assessing the root cause.
- Reporting to and liaising with the firm's professional indemnity insurer where necessary.

Thackray Williams LLP is a limited liability partnership registered in England & Wales (Registered Number OC333759) and authorised and regulated by the Solicitors Regulation Authority. A list of members is available for inspection at our registered office at 32-40 Widmore Road Bromley Kent BR1 1RY. We use the term "partner" to refer to a member of Thackray Williams LLP or a consultant or employee who is a lawyer with equivalent standing and qualifications.

- Acting as point of contact to manage relationship with panel solicitors when instructed.
- Assisting the team in dealing with complaints from clients.
- Maintaining and updating various central registers (such as MLRO log, complaints, claims, GDPR and conflicts).
- Liaising with other members of the Management Team in relation to projects.
- Assisting in Practising Certificate bulk renewal - gathering data from various sources.
- Assisting in the administration of the firm's training in risk management and compliance.
- Conducting ad-hoc research in all areas of risk management.
- Keeping up to date with legal and regulatory information and changes.
- Assisting the Risk and Compliance Manager with the preparation of formal reports.

Attributes/experience

- Proficiency in MS Outlook, Word, PowerPoint and Excel is essential.
- Comfortable working within case management and database systems.
- Previous relevant experience and understanding of risk and compliance is essential.
- Knowledge of the law, regulation and professional standards applicable to a law firm, together with an understanding of compliance and risk issues.
- Requires resilience and composure in dealing with all situations.
- Hands on and confident with an energetic approach to risk management
- Excellent interpersonal skills and a client orientated approach.
- Confident in dealing with senior management and partners generally
- Co-operative approach conducive to working within business support team.

Personal attributes required in line with the firm's 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
- Support 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 for this role are aligned to those expected of Management Support in the core competency framework.

Normal working hours are 9am to 5.30pm. Staff will be expected to be flexible and to arrive earlier and stay later when the job or business requires. There may be an opportunity to work alternative hours upon request, dependant upon this meeting with the business needs.