

Job description -

JOB TITLE:	Compliance Officer
REMUNERATION:	£35-45k depending on experience
POSITION:	Permanent, full time
REQUIRED EXPERIENCE:	3-5 years Compliance Experience

About Tribe:

Tribe is an exciting, high growth, award-winning, wealth management firm focussed on values and impact-driven investment management. We believe passionately in the use of capital as a force to drive positive change. Having come through the FCA's Innovation Hub, successfully launched Tribe Impact Capital, and developed the investment & impact process and client base over the last six years, we are now focussed on growing the Tribe further.

Our approach to investment and wealth management combines our clients' values, their financial aspirations and the change they want to see in the world - their impact. We then build portfolios that reflect these three factors. For wealth holders that want to do well and do good.

We're proud to be members of the B-Corp family and signatories to the UN PRI, Women in Finance Charter, as well as the Science Based Targets Initiative. Locked into our articles is a fixed commitment to contribute a minimum of 20% of annual profits to an impact vehicle that will invest in, and provide grants to, high impact and scalable mission-driven organisations.

We're mission-led, which gives us a sense of purpose: we want to support wealth holders who want to do well by doing good.

Your role:

You will report directly to the Head of Compliance and will consist of the following responsibilities:

- **Monitoring Policies and Procedures**
 - Assisting in reviewing and updating internal policies and procedures to ensure they reflect current regulations and best practices.
 - Ensuring that all compliance-related documents, such as policies and procedures are well-maintained and up to date.
- **Reviewing and Recording Conflicts of Interest**
 - Regular reviews of Conflicts of Interest (business level and staff level).
 - Documenting this for the business.
- **Reviewing and Recording Financial Promotions**
 - Helping review and approve Financial Promotions in a timely manner.
- **Reviewing and Recording Breaches and Incidents**
 - Collating and investigating breaches and incidents, helping to resolve and close these out.
 - Produce reports against these.
- **Reviewing and Recording Personal Account Dealing Requests**
 - Helping to review and approve PA Dealing requests.

- **Assisting and implementing regular Regulatory Horizon Scanning**
 - Implementing regulatory horizon scanning.
 - Reviewing, updating, and implementing new procedures/practices to ensure compliance with regulatory changes / developments.
- **Assisting with Compliance Queries**
 - Help in responding to advisory queries.
- **Compliance Monitoring Programme (CMP)**
 - Supporting with CMP reviews.
- **Training and Awareness**
 - Help deliver training to employees regarding Tribe's Compliance policies, regulations, and ethical standards.
- **Assist with Reporting and Management Information (MI)**
 - Help with planning for the Compliance function to contribute to the overall compliant operations of the firm.
 - Help improve MI for enhanced data-led reporting.
 - Maintaining accurate records of compliance-related activities, including audits, training, and reporting.
 - Help identify and report on any weaknesses or non-compliance issues within Tribe's processes or systems and suggest improvements.

Experience, key skills and competency requirements:

- This role is varied and therefore we are looking for someone who is very organised, confident, has excellent attention to detail and eager to learn.
- It's important you're comfortable speaking to lots of different parts of the business at all seniority levels.
- Adaptive to change in a fast-paced environment.
- A problem-solver who wants to drive innovation within Compliance.
- Excellent communication skills, particularly written and spoken English.

Behavioural qualities:

- Ability to work closely with all disciplines across the business, as well as communicating clearly to others: understanding their requirements and working with them to find solutions
- You'll be part of a small team, so you'll need to be able to work well within this dynamic
- You should be highly motivated and comfortable working with a degree of autonomy
- Curious and not afraid to ask questions
- Confident without excluding other opinions
- Empathetic to alternative points of views and experiences
- Willing to learn, find out the answer if you don't know
- Always acting with integrity
- Comfortable bringing their true self to work. We're a mission-driven business that thrives on authenticity, honesty and self-expression

We are a values-driven organisation. As a team, our values underpin our shared beliefs, and in turn guide our culture and behaviour.

Our core values are:

- Forward-thinking - we're working today for a better tomorrow
- Collaborative - we are better together
- Passionate - we love what we do, and it shows

These three together are underpinned by our behavioural foundation: integrity.

These values and our mission give us our sense of purpose: we want to support wealth holders who want to do well by doing good.

Working at Tribe

We're a growing team of mission-driven individuals. As a B Corps, we're aware of our role in society and on the planet, as well as our responsibilities to all stakeholders.

The office is based in the West End of London. Whilst we offer hybrid working, this will be your main place of work. We will support you in your own personal development, with training and career development.

Employee benefits include pension contribution, life insurance and private medical insurance. You will have a 25 day holiday allowance that increases with service. We also offer volunteering time, cycle-to-work schemes, season ticket loans, matched giving and workplace nursery benefit.

Interested?

To apply please send a CV and cover letter explaining why you think you're perfect for this role and Tribe to jobs@tribeimpactcapital.com

Please note candidates must have the necessary permits to work in the United Kingdom.

Disclaimer:

All statements are intended only to describe the general nature and level of work being performed by employees assigned to this classification. They are not intended to be construed as an exhaustive list of all responsibilities, duties and skills required of employees so classified. Employees will be required to undertake any additional tasks or duties that may be within their capabilities. Tribe reserves the right to make amendments to the above in response to any material internal or external developments (e.g. market changes, new regulations, internal restructuring).