

## Job description

Job title	Compliance and Risk Analyst
Reports to	Head of Compliance Monitoring and Non-Financial Risk
Location	Basingstoke
Job purpose summary	To help deliver the duties of the compliance assurance and non-financial risk functions for Castle Trust Capital plc and its subsidiaries.

### Key responsibilities and accountabilities

- Deliver high quality Compliance Monitoring reviews across Castle Trust's investment, mortgage, structured finance and consumer credit businesses
- Be the subject matter expert in Compliance for the investments business line, supporting first line queries and conducting Routine Outcomes Testing on middle / back office activities
- Collaborate with the wider Compliance team to assist in supporting the team's oversight of all non-financial risk (operational risk, conduct risk) across all business lines – including supporting the Non-Financial Risk Committee, incident management and monitoring Key Risk Indicators
- Maintain and oversee completion of the compliance registers (Breach and Complaints log, Gifts and Entertainment log, PA dealing log etc.) in accordance with policy
- Support the department to deliver the Compliance training plan across the organisation, and role modelling Castle Trust's values
- Work with colleagues across the organisation to review and approve financial promotions
- Generate accurate and timely management information for reporting
- Support the department in any ad hoc activities as required by a fast-paced and dynamic organisation
- Work closely with Castle Trust's legal and internal audit functions and other colleagues as required

### Key competencies

- Committed and self- motivated
- Excellent communication skills and an ability to adapt style to audience
- Ability to balance regulatory and conduct risks with the needs of a commercial organisation, while maintaining a clear level of independence and challenge
- Ability to adapt within a changing environment, re-prioritise workloads and work effectively with multiple competing priorities

### Qualifications and experience

- Experience within the Financial Services
- Broad knowledge of key regulatory topics
- Desire for a career in compliance
- Degree level education in relevant discipline
- Some experience of financial services compliance
- (Plans to obtain) a recognised relevant professional qualification