

fidelius.



Compliance Executive

Compliance Manager

Function	Compliance and Risk
Reports to	Compliance Manager
Line Reports	None
Purpose of Role	To support the effective operation of the Group's compliance framework. The role ensures adherence to FCA regulations, GDPR, internal policies, and wider regulatory obligations by conducting monitoring activities, undertaking audits, managing documentation, and contributing to a culture of regulatory excellence.

Key responsibilities

1. Key Responsibilities

- Support the Compliance Manager to identify all areas across the group where compliance oversight is required to ensure regulatory requirements and industry best practices are met.
- Support the implementation of an appropriate monitoring regime across all group entities to ensure compliance standards are maintained and timely remedial actions are taken where necessary.
- Maintain accurate, detailed, and up-to-date compliance records and documentation across all business areas and support the Compliance Manager to provide regular, risk-based reporting on all controlled functions to the Head of Governance, Risk and Compliance, with a group-wide perspective.
- Support the delivery of compliance training and testing programmes for staff across the group, including creation of training materials (e.g. Anti-Money Laundering, TCF) tailored to diverse business areas.
- Support the timely and accurate submission of regulatory information and notifications to the FCA, and the completion of relevant group-level regulatory returns.
- Support the approval of financial promotions across the group to meet regulatory and internal business standards prior to approval, maintaining consistency in interpretation and application.
- Provide guidance to the Group on compliance and risk matters
- Act as the first line reviewer for alerts raised by the group's Anti-Money Laundering (AML) system, escalating cases as appropriate to the MLRO or deputy MLRO.
- Stay informed of changes in the regulatory landscape and assist the team to assess potential impacts on the group's operations, working proactively with senior colleagues to develop plans that ensure continued compliance.



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Fidelius Ltd is authorised and regulated by the Financial Conduct Authority. Our FCA reference is 188615. Registered No. 03658809 ENGLAND. Registered Office: No.1 Bath Quays, 1 Foundry Lane, Bath BA2 3GZ

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2. Project and Team Working

- Ensure effective communication and collaboration between teams across the group, supporting a consistent and joined-up approach to compliance and governance.
- Proactively build and maintain strong stakeholder relationships across multiple business areas, role modelling the Company values and behaviours at a group-wide level.
- Undertake or support business projects that require compliance input, including initiatives that span across multiple group entities or departments.

3. Compliance

- Ensure all change initiatives are managed within the appropriate risk management framework (including financial and operational risk) and follow the group's authorisation structure for any process amendments.
- Ensure full adherence to all company procedures and guidelines, applying them consistently across all group companies and locations.
- Maintain accurate records of all Continuing Professional Development (CPD) activity to ensure up-to-date compliance knowledge and contribution to group standards.

Knowledge, Skills and Competencies

- Excellent understanding of the compliance standards set down by the Financial Conduct Authority and the implications to financial services companies and advisers.
- Excellent understanding of the requirements for auditing and reporting on all areas of compliance.
- Experience of delivering accurate and relevant information in an appropriate and timely manner.
- CII level 4 Diploma in Financial Services and/or relevant compliance qualifications
- Able to effectively monitor transactions and business processes against set standards and to implement remedial action when required.
- Good report writing skills meeting regulatory standards

Our Ways of Working

Accountable

- Takes ownership and accountability for their actions and tasks.
- Steps outside of comfort zone to learn and develop.
- Organised and efficient, manages their own time effectively and prioritises to maximise productivity.
- Keeps promises and delivers what they say they will.



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Collaborative

- Is inclusive, respectful and supportive of others.
- Listens and takes on-board the views of others.
- Communicates in a timely and effective manner for the best outcomes.
- Shares knowledge and experiences to improve results.

Inquisitive

- Seeks opportunities to create efficiency and improve ways of working.
- Appropriately challenges ways of working.
- Willing to understand different ways of working in different teams.
- Confidently and constructively questions processes.

Transparent

- Honest and trustworthy, treating everyone with respect.
- Straightforward with communication.
- Clear and concise with others at all times.

Aware

- Is aware of the impact of their own actions, styles and behaviours on others.
- Gives support, praise and feedback to others in a constructive manner and receives feedback or challenge graciously and with an open mind.
- Reflects on feedback received to develop themselves.

Adaptable

- Embraces and positively endorses change, finding ways to support the situation.
- Demonstrates flexibility where priorities or deliverables need to change and takes responsibility for continuous review.
- Adopts a flexible approach to projects, tasks and others.

Determined

- Has a can-do attitude.
- Takes responsibility for their own development.
- Copes effectively under pressure.
- Delivers on promises, expectations, roles and responsibilities



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