

## REGULATORY LAWYER – FINANCIAL CRIME

We are currently recruiting for a Regulatory Lawyer to join our Financial Crime team within the Compliance department on a permanent basis.

### **The Role**

This is a newly created role to support the Senior Compliance Manager & MLRO, and the Platform Group Head of Compliance to deliver the work of the Group Financial Crime Team and, as required, the Compliance Department more broadly.

The Financial Crime Team is responsible for providing advice and supporting the Group to help mitigate financial crime risks such as Money Laundering & Countering Terrorist Financing, Bribery and Corruption, Market Abuse and Fraud, investigating internal suspicious activity reports and reporting issues to FCA, PRA or governmental bodies and law enforcement agencies.

This role is London based although we operate a hybrid working model (2 days a week minimum in the London office) with a focus on ensuring work/life balance and fostering employee well-being and a culture of belonging.

### **Key responsibilities include:**

#### **Financial Crime prevention**

- Regulatory Developments Updates – consider whether a regulatory update to the business about relevant regulatory developments would be helpful and, if so, prepare a Regulatory Developments Update containing the key information. Circulate to the business following sign off by the Senior Compliance Manager & MLRO.
- Policy Analysis - detailed analysis of financial crime related regulatory publications about new laws, rules and regulations or changes to existing regulations, in particular, consultation papers and policy statements.
- Assist with the completion of information requests relating to the prevention of financial crime as and when received from the FCA, PRA or government bodies and law enforcement agencies.
- Advice and Support- provide guidance and support to the business on the requirements of financial crime prevention related policy as required and how it apply to Transact.
- Support - support the other members of the Financial Crime team and the broader Compliance Department as and when required.
- Financial Crime Related Complaints – Assist the Complaints team when asked to do so with complaints associated with financial crime prevention matters/controls/processes.

- Dealing with the Authorities - Support the Group Financial Crime Manager to deal with NCA, FCA or Police investigations following submission of Suspicious Activity Reports or other notifications.
- Reporting - Complete and submit annual financial crime regulatory return.

### **Financial Sanctions**

- Develop a comprehensive knowledge of the UK and International sanctions regimes and the Group's obligations under them.

### **Requirements**

The successful candidate will be a qualified solicitor or barrister with experience in practice with a strong understanding of the financial services industry. Compliance/Financial Crime focused qualifications although advantageous are not essential.

You will have experience working in a financial services Compliance/Legal team in a similar environment with a strong understanding of retail financial products including ISAs and Pensions.

An understanding and experience of Financial Crime prevention related work including Anti-Money Laundering, Financial Sanctions, Market Abuse, Internal and External Fraud and Anti-Bribery and Corruption is required.

You will be a strong communicator with the ability to interact with stakeholders at all levels.

We offer a competitive remuneration package, including company discretionary bonus, excellent pension contributions, an attractive staff share scheme, BUPA health insurance, buying and selling of annual leave and sponsorship of relevant professional qualifications.

### **About Us**

Transact is the leading independent investment wrap platform in the UK. Established in 2000, we have over £61 billion of funds under direction (as at March 2024) on behalf of over 7,800 advisers and 231,500 investor clients. Our service includes an online platform, owned and built by us, and dedicated regional adviser support to help bring clients' assets and investments together in a smarter, more tax efficient way. We offer access to a wide range of tax wrappers (including ISAs, pensions and life insurance investment bonds) and funds which advisers use to build client investment portfolios. Portfolio valuations, purchases and sales are all supported via Transact Online which is available 24/7. Transact's parent company, IntegraFin Holdings plc, is listed on the London Stock Exchange and is a constituent of the FTSE 250 index.

### **Equal Opportunities**

We provide a diverse and inclusive workplace and ensure that all of our staff respect and understand individual differences. We are an equal opportunities employer and positively

encourage applications from suitably qualified and eligible candidates regardless of age, disability, gender reassignment, marital or civil partner status, pregnancy or maternity, race, religion or belief, sex or sexual orientation.