

Job Title: Investment Wholesale - Consultant

Contract: Permanent

Reports: Partner – Investment Wholesale

Location Hybrid: Minimum 2 days per week in London

Job summary:

Thistle Initiatives is a multi-award-winning regulatory consultancy, providing expert compliance advice and support across the financial services sector. Our clients range from niche start-ups to long-established market leaders covering the following verticals: Financial Crime, Investments, Payment Services and Credit and Insurance.

We have a fantastic opportunity to take advantage of developing a unique career with Thistle Initiatives, we are looking for an individual who has a passion to learn and succeed. This role offers a fantastic opportunity to elevate your career in financial services, in particular within the investments industry. It provides a unique opportunity for the right individual to take advantage of developing a career with Thistle in delivering a range of financial services compliance solutions for those firms regulated by the FCA, whilst also gaining deep knowledge of the FCA's regulatory rules.

The right individual will need to demonstrate an ability to successfully support projects from beginning to end, have a professional manner, provide an excellent client experience and be adaptable to change in this diverse role.

Responsibilities are wide-ranging and varied, given the exciting projects we work on. We are keen to speak to people with a passion for learning new things and problem solving.

Key Responsibilities:

- Assisting with the development of compliance policies and procedures to meet changing regulations
- Assisting with the drafting of a variety of FCA applications
- Assisting reviewing Financial Promotions
- Support compliance and regulatory projects, including compilation of reports on request, file and due diligence reviews, audits assistance
- Undertaking specific projects as required
- Providing general administrative support to the compliance team
- Maintaining/updating systems and databases
- Generating and reviewing MI on a regular basis, highlighting any trends with a course of recommended action to Management
- Keeping up to date with the FCA and Industry sources to assist with providing the firm with regular updates

This role is not limited to the above duties. Due to the nature of the role, you will need to be adaptable and open to change in this position.

Experience/Qualifications

- Relevant Financial services background and experience highly desirable
- Knowledge of FCA regulations desirable
- Educational attainment at degree level not essential but would be an advantage
- Demonstrable strong standard of Maths and English literacy

Key Competences

Behavioural

- **Commercial Awareness:** Must be mindful of the commercial objectives of the firm when delivering compliance assistance
- **Commitment & enthusiasm:** Should have a desire to see yourself and the firm succeed
- **Embraces change:** Should be adaptable to the changing requirements of the regulations and be keen to develop new skills
- **Communication:** Ability to communicate openly and effectively, both internally and externally, in order to deliver the requirements of our client firms, with the ability to adapt to different audiences
- **Personal Credibility:** Must be able to establish and maintain trusting relationships with others
- **Team working:** Foster effective and productive working relationships (should be considerate to the needs and opinions of others)
- **Pro-activity:** Must actively seek new tasks and have a growth mindset
- **Self-driven:** The ability to work autonomously and as a team player
- **Determined:** Have the resilience and tenacity to support projects from start to finish
- **Written communication skills:** Should have the ability to draft written communications and documentation in an articulate way and to a high standard
- **Individual working:** Must be able to work under own initiative identifying when referral needs to be made
- **Time management:** Must be able to prioritise and manage time and tasks effectively, this includes a readiness to delegate where possible with efficient organisation and time management skills

Technical

- **Attention to detail:** all work must be completed with the focus on quality and accuracy
- **Technical skills:** Intermediate MS Excel, MS Word and PowerPoint
- **Problem Solving:** demonstrates an ability to solve problems in a rational manner
- **Understanding:** demonstrates an awareness of the immediate and the wider implications when applying regulation in practice
- Ability to conduct thorough research and analyse data

We offer

- Competitive salary and the ability to grow your career within Thistle Initiatives
- 25 - 30 days holiday entitlement depending on length of service
- Company pension scheme
- Private Medical Insurance



- Gym membership contribution
- Working with dynamic teams with regular social events

If you are looking to springboard your career to the next level and would like to be part of a supportive and dynamic culture, then please apply immediately.