



Job Title: Compliance Associate
Department: Compliance

TIME Investments – Who we are

The TIME group currently manages over £4.5 billion of assets for our 30,000 plus investors. We work in partnership with financial advisers, wealth managers and family offices to create and deliver innovative investment solutions for their clients. Throughout our investment solutions we focus on providing consistent, stable returns delivered through a defensive and transparent investment strategy. TIME is built on and shaped by its values, which are at the heart of our business:

- Talent: Going above and beyond to deliver positive results
- Intelligence: Effecting positive change through innovation
- Maturity: Making our client feel valued
- Excellence: Challenging the ordinary and creating impact

Compliance Team

At TIME, the Compliance Team is at the heart of the organisation and supports the day-to-day running of the business, as well as providing regulatory support and guidance for TIME's staff we also seek to ensure that our clients are protected from harm. Our clients include financial advisers, retail investors, nominees, banks and HNW individuals. As a small but rapidly growing Investment Manager, the team's responsibilities are wide ranging, covering compliance advisory and monitoring, governance and risk management including policy and procedure review, marketing, and sales content review, ensuring that the TIME team has robust regulatory support, guidance, and training programmes in place. The team is well known for providing quick, positive, and can-do advice to the business on all regulatory matters, whilst also ensuring TIME plays by the regulatory rules and protecting its clients.

Who are we looking for?

The Compliance Associate role is a newly created position. Reporting into the Compliance Manager, the successful candidate will work closely alongside the wider Compliance Team including the Head of Compliance. The Compliance Team is growing to ensure that it can focus on the wide ranging and expanding regulatory challenges TIME Investments faces. This role will initially be focussed upon providing support to the existing team with marketing content reviews, policy reviews and its compliance monitoring programme.

The candidate should be able to contribute to the compliance functions including the ongoing improvement of the team's processes. They will display diligence by bringing a high level of care and attention to even the most basic tasks through to the most complex and will demonstrate their intelligence through an ability to pick up new things quickly. The candidate will be engaged in the business and will show this through building relationships, seeking to self-improve and taking an interest in the future direction of TIME. As a small-medium sized company those candidates who are happy to have a broad set of responsibilities and who thrive in being hands-on will fit well into the team and the wider organisation. We are looking for a candidate with an exceptional approach to this role, who understands that the needs of clients (both internal and external) are at the heart of everything we do and key to the success of our business. Within the Compliance Team, a can-do attitude and a supportive approach to team members are essential attributes.

The role

Compliance Associate job functions:

- Provide support to the Compliance Team
- Review marketing materials, presentations, and websites to ensure compliance with the regulatory requirements
- Assist in the ongoing Compliance Monitoring programme, ensuring that the findings are recorded, and any issues are rectified

- Investigate any irregularities or non-compliance issues
- Ensure TIME's operational policies, processes and procedures deliver the regulatory outcomes required
- Ongoing assessment of the firm's controls
- Assist in the gathering of internal information in response to regulatory requests
- Providing ongoing compliance training where required
- Provide written or verbal guidance to staff

Additional requirements:

- Excellent communication skills, with the ability to interact with senior management
- Critical problem-solving ability
- Ability to analyse and interpret information quickly
- Good IT skills including Microsoft Office
- Able to thrive within a fast paced and constantly changing regulatory landscape
- Ideally at least three to four years compliance experience

What we can offer

Culture

Successful candidates will reap the benefits of working for a business where their voice is heard, and their contribution is truly valued. TIME Investments has an open and supportive approach towards its employees and the Compliance Team embraces this wholeheartedly.

Training and Development

The successful candidate will be offered training and development within the team and will receive product and organisational overviews from across the business as part of our in-house onboarding process which is offered to all new employees – whatever their role.

Recognition of Performance

Joining an existing team, the candidate will benefit from working with a team where merit truly counts and where outperformance is rewarded with greater responsibility and greater exposure, regardless of length of service. TIME also has a company-wide recognition service which is tied strongly to our values.

Contributing to Change

Within the Compliance Team we are constantly striving to find improvements across the business and the successful candidate will be provided with the necessary support, training, and encouragement to be part of this process. The candidate will also have the opportunity to contribute to providing industry leading customer service to all our stakeholders.

Equality, Diversity and Inclusion

TIME Investments welcomes applications from individuals from all communities.

This job description is not intended to be all-inclusive. Employees may be required to perform other related duties to meet the ongoing needs of the organisation.