



Head of Risk and Compliance

Qualification	Commensurate with Salary Expectations
Role	Permanent
Hours	Full Time
Team	Operation / Leadership Team (depending on experience)
Office Location	Flexible as role demands
Remuneration	Negotiable but commensurate with experience

BTMK

BTMK is a very ambitious, multi-disciplined firm of solicitors based in four very prominent locations across South Essex with additional office space in the City of London. The firm dates back over 110 years and the BTMK business has gone from strength to strength over the past 5 years. Through a number of key business acquisitions, including most recently the BTMK Todmans business based in Rayleigh, the business is meeting its strategy to be a key player in the legal services market throughout Essex.

The Role

The successful candidate will be working with our Directors and Heads of Departments to ensure BTMK is meeting its requirements regarding file reviews, compliance, attitude to risk and the management of any complaints and claims. For a business as complex as BTMK, this is a crucial role to help the business to build for the future. The right candidate will also be responsible for ensuring our accreditations and lender panel applications are successfully applied for annually or where necessary. The key responsibilities of this role are listed below. The successful candidate will be able to converse with all members of staff and be confident in presenting the facts and guidelines in a manner which can be understood and acted upon. Excellent knowledge of AML regulations, SRA codes and Data Protection Legislation is essential for this position.

For the right candidate, the position will provide a hugely challenging and rewarding role at a forward looking and ambitious law firm, with a great history and an even more exciting future.

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Key Responsibilities

1. File Reviews
 - a) Managing the process and ensuring we're completing both compliance and technical file reviews
 - b) Creating a sustainable review of the data, consider patterns and improve processes
 - c) Report back to Directors and HDs with issues identified;
2. Compliance
 - a) Anti-Money Laundering (ensure MLRO/DMLRO) are aware of key changes
 - b) Data Management (ensure Data officer aware of any key changes)
 - c) SAR and changes (with COFA) d) Review processes and advise on improvements
3. Complaints & Claims
 - a) First point of contact for complaints matters and to manage the process through to resolution
 - b) Report to MD with recommendations for any proposed resolutions
 - c) Report to MD with any PII notifications
 - d) Additional point of contact for PII (to report to Managing Director)
 - e) Manage and review patterns, assist to improve processes
 - f) Support the annual renewal process
4. Lexcel/CQS/LMS/Lender Panels etc from a Risk & Compliance point of view.
5. Advising on conflict issues to solicitors and lawyers
6. Identifying training requirements for professional and non-professional team members and securing appropriate training
7. Reviewing general policies and procedures – such as file closure policies/risk management procedures
8. Legislation Requirements : Excellent knowledge of AML regulations, SRA codes and Data Protection Legislation is essential for this position, as well as planning for future changes
9. Assisting in any investigation process as and when necessary and being the principal point of contact for co-ordination

Application Process

Please direct all applications, including a current CV to our Head of HR, Lisa Smith, via e-mail at lisa.smith@btmk.co.uk. All applications will be dealt with sensitively and confidentially.



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BTMK is an equal opportunities employer.