

Perspective is a national financial planning and wealth management group which operates from 21 offices across the UK employing over 275 staff, including over 80 highly qualified advisers. It provides impartial, specialist advice for individuals, corporates and trustees on pensions, retirement planning, inheritance tax planning, investments and group risk and business protection matters, often working closely with other professional advisers such as accountants and lawyers.

The group differentiates itself by having a strong and ethical client-centric culture, a robust compliance approach and a clear focus on developing its pipeline of trainee financial planner talent through its workplace based in-house Training Academy.

CBPE Capital LLP made a major investment in Perspective to support the Group's management team with their continued focus on providing high quality advice to their existing client base, growing organically and making selective acquisitions.

Perspective has gained a reputation as the 'acquirer of choice' for Financial Planners looking to retire and exit the industry and for larger Financial Planning firms looking to join an established and growing industry leading group.

## Compliance Officer (ref: 176)

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**Location:** Remote with occasional travel required to Head Office in Chorley, and to visit target acquisition firms.

**Hours:** Monday - Friday 9.00am - 5.00pm (35 hours)

**Salary:** Competitive

**Benefits:** 25 days holiday (rising with length of service) plus Bank Holidays, Holiday Purchase Scheme, Life Assurance, Pension and Corporate

### Role Overview:

We have a fantastic opportunity to join our Regulatory function as a Compliance Officer. The successful candidate will assist the Senior Compliance Manager with Regulatory Due Diligence exercises, comprising reviews of systems and controls, suitability of advice, identification of risks and understanding a target firm's culture all of which will be summarised in a formal written Report for Board consideration.

### Specific Responsibilities:

The key duties of the role are listed below. Due to the nature of the business, the role may also include additional responsibilities considered reasonable:

- Support the execution of regulatory due diligence and assist in ensuring findings/conclusions are appropriately considered in line with regulatory and internal compliance requirements
- Identify regulatory risks, escalating significant concerns to the Senior Compliance Manager
- Preparation and review of monthly reports
- Assist and support in other areas of Compliance as required

### Key requirements are:

- Have experience working for a consultancy or compliance service provider or contributing to Regulatory Due Diligence exercises.
- Have a high level of attention to detail and have an analytical and inquisitive mind.

Perspective's flexible and pragmatic approach means we can create mutually beneficial acquisition deal structures and completion timescales, while priding ourselves on delivering a client-centric, ethical approach focused on long term (often multi-generational) client relationships.

## Privacy Policy

*Perspective Financial Group Ltd ("us", "we") respects your right to privacy. Our Privacy Policy explains who we are, how we collect, share, and use personal information about you, and how you can exercise your privacy rights. Our Privacy Policy is available on our website <https://www.pfgl.co.uk/privacy-policy/>*

- Be comfortable writing up findings in a clear, concise and professional way to contribute to wider Reports.
- Understand FCA rules and regulation. A sound understanding of COBS, TC and FIT would be advantageous.
- Ability to identify potential risks to the business and offer risk mitigation solutions.
- Alert relevant parties to 'red flags' or 'concerns' that emerge during the due diligence process, with well-reasoned rationale.
- Able to work independently and meet deadlines.
- Comfortable in a high growth and ever-changing business
- Competent working with a range of Office 365 applications, particularly Teams, Sharepoint, Excel, Word and Outlook.

## How to apply

Please send your CV and cover letter to [recruitment@pfgl.co.uk](mailto:recruitment@pfgl.co.uk) quoting Compliance Officer (ref: 176)

Any unsolicited CVs will be sent at the recruitment agency's own risk and will be interpreted as 'gifts' and we have no liability to you for any fee or otherwise. We reserve the right to engage with candidates directly having not, in any way, entered into your terms and conditions. By submitting an unsolicited CV to us, or to any member of our staff, you accept these terms as the default position