COLLINS SARRI STATHAM
INVESTMENTS

Job Description

Compliance & Trade Support Assistant

Reports to: Head of Compliance
Location: Muswell Hill, North London (N10) — office based
Hours: Full time, Monday–Friday
Salary: On application

About the role

This is a rare opportunity to train up and grow into a key role at the heart of an FCA-regulated advisory stockbroker. Working across both compliance and trade support, you will be fully trained in everything from client account administration to the daily monitoring that helps the firm meet its regulatory obligations. It is a varied, detail-rich role, ideal for someone organised, reliable and keen to build a career in financial services. Full training is given, with support to study towards a relevant industry qualification (such as CISI) over time.

Purpose

To support the daily monitoring of the systems and controls the firm uses to meet its regulatory obligations, and to provide trade support across client account administration — learning each area with full training and supervision.

Key responsibilities (with full training)

Day-to-day duties:

- Support daily trade monitoring in line with the Compliance Monitoring Programme (CMP).
- Help carry out sample checks for best execution in line with the CMP.
- Confirm the telephone recording system is recording correctly.
- Investigate and clear overnight client screening flags (SmartSearch), referring anything unresolved to the Head of Compliance.
- Help review trading and financial transactions for clients, referring findings to the Head of Compliance.
- Maintain the financial promotions register and review the Morning Call / Market Close newsletters.
- Review and process new account opening requests from Trade Support.
- Flag any client rebates due from trade errors and maintain the Trade Errors register.

- Log client complaints and help ensure response deadlines are met.
- Help ensure personal account (PA) deals are approved correctly and keep the register updated.
- Update the RCP register for clients with an updated RCP.

Weekly duties:

- Help ensure brokers contact clients who have fallen below their AMF level.
- Help ensure brokers contact clients trading with high margin utilisation (above 80%).

Monthly duties:

- Help ensure policies and procedures are reviewed on a rolling annual basis via the Policy & Procedures Register.

Quarterly duties:

- Support the Broker Trading Review, checking that trades stay within agreed size, frequency and any client trading restrictions.

General:

- Provide general office and administrative support to keep the team running smoothly.
- Use AI tools sensibly to help work more efficiently and accurately.
- Assist the Head of Compliance with ad-hoc duties, tasks and projects.
- Build a good working understanding of the FCA rules relevant to these monitoring responsibilities (with training and support).

Skills & competencies

- Organised, proactive self-starter.
- Excellent attention to detail.
- Methodical and accurate in their work.
- Confident and approachable in dealing with others.
- Comfortable with numbers and everyday IT (email, spreadsheets, online systems).
- Comfortable using Microsoft and Google package of software tools.
- Comfortable using AI tools, and keen to use them to work smarter — a real plus.
- Able to handle confidential information with discretion.
- Keen to learn about the FCA regulatory regime — prior knowledge is welcome but not required.

Experience & qualifications

- Some office experience is preferred but not essential — attitude and aptitude matter most, and full training is given.
- A good standard of general education.
- A university degree is desirable but not required.
- Support will be given to study towards a relevant compliance qualification (CISI or ICA); existing progress is welcome but not expected.

Collins Sarri Statham Investments is an equal opportunities employer and welcomes applications from all backgrounds.