

Job Title: **Head of Compliance**– LHK Group

Role Overview:

The successful candidate will lead the compliance function, ensuring that the brokerage operates in accordance with all relevant regulatory frameworks and industry best practices. This role involves designing, implementing, and managing compliance programs to ensure that the company meets its legal obligations and maintains ethical standards. A Central Bank of Ireland pre-approval control function – PCF 12 and PCF 52.

Key Responsibilities:

- Ensure the brokerage complies with relevant regulatory requirements.
- Execute and maintain a compliance monitoring framework.
- Create, implement, and update internal compliance policies, ensuring they align with current laws, regulations, and industry standards.
- Identify, assess, and monitor compliance risks across the business. Develop strategies to mitigate and manage these risks effectively. Assist
- Develop and deliver compliance training to the team internally, ensuring that employees understand and adhere to regulatory requirements and company policies.
- Oversee internal compliance audits and manage external regulatory audits. Provide timely and accurate reports to senior management and regulators as required.
- Act as a key advisor to the Board of Directors on compliance matters, offering guidance on legal obligations, emerging regulations, and best practices.
- Manage and investigate compliance breaches or issues, ensuring appropriate corrective actions are taken and documented.
- Liaise with regulatory bodies, external auditors, and other key stakeholders to ensure a cooperative relationship and timely resolution of any issues.
- Assist with the maintenance of key governance documents.
- Develop, implement, and maintain the company's AML program, ensuring alignment with regulatory requirements.
- Ensure compliance with the General Data Protection Regulation (GDPR) and other relevant data protection laws, including overseeing data governance across the company.

Key Skills & Experience Required:

- Relevant qualification(s).
- Proven experience in a compliance role within the insurance or financial services industry, with in-depth knowledge of regulatory requirements specific to a retail intermediary.
- Expertise in key regulations affecting the insurance industry.
- Ability to assess complex regulatory information and translate it into actionable policies and procedures.
- A confident, ambitious, articulate individual with strong communication and interpersonal skills, capable of driving a culture of compliance across an organization.
- Attention to detail is a must in addition to an ability to manage multiple priorities.
- Ability to quickly understand problems, articulate them and offer solutions.
- Deadline and results focused.
- Organised with good attention to detail.
- A high degree of professional integrity and ethical decision-making.

Why Join Us?

- Work within a privately owned, growing and award winning brokerage.
- Opportunity to shape the compliance framework and make a positive impact on the business.
- Competitive salary, benefits package, and opportunities for professional development.

LHK Group is a third-generation, Irish owned, practitioner-led general insurance and financial planning broker based. Established in 1938, we are one of the oldest brokers on the island of Ireland, and act as the insurance and financial planning partner of choice for owner-managers, entrepreneurs, sole traders, partnerships, and family businesses across multiple industry sectors. In 2024, Finance One became part of the LHK Group after a majority stake in the company was acquired. The acquisition enables the Group to deliver a broader range of services to their clients. Finance One is a leading financial services company based in Dublin, Ireland, offering wealth management, pensions, investments, employee benefits and mortgage advisory services to private individuals and commercial clients nationally.

www.lhkgroup.ie

www.financeone.ie

www.mortgageone.ie

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