

A nighttime photograph of the London skyline. On the left is the Gherkin (30 St Mary Axe) with its distinctive diamond-patterned glass facade. To its right is Paternoster House, a tall, dark building with many lit windows. The background shows other city lights under a dark sky.

**LF** LUBBOCK FINE

Career Opportunity  
Regulatory Compliance  
Manager

Paternoster House | 65 St Paul's Churchyard | London EC4M 8AB

# Why Lubbock Fine?

Lubbock Fine is a successful 17 Partner accountancy and tax advisory practice. We are also the founder member of the award-winning global network Russell Bedford International. Due to a period of considerable growth, we plan to expand our team to 160 members of staff this year. The overarching strategy of the firm at the heart of our success is our vision to 'redefine exceptional'. Now is a perfect time to join us to be part of that success and to help shape the future.

We have a diverse range of clients, both within the UK and around the world. Our specialist business desks look after clients in France, Portugal, India, the Middle East and Africa, we have business operations in the Cayman Islands. Our Dubai office, established in 2006, was one of the first to register as auditors with the Dubai Financial Services Authority.

Our clients cover a vast array of sectors including property investment businesses, natural resources, and renewable energy firms, the media & entertainment sector, technology, FCA registered firms, charities and large funds with up to £4bn in assets. With such a diverse client base our work is both challenging and gratifying and offers our people many opportunities to gain exposure to new industries, or to specialise.

Our leadership team is friendly and approachable, and they keep an open-door policy to interact with the LF team at all levels. Our Smart Working policy enables you to reasonably work from where, and when to you want, ensuring that you have a high degree of autonomy over how you manage your time. This trust is rewarded with great performance.

We take CSR seriously and are heavily engaged in social mobility and charitable activities giving you the opportunity to give back. Employee wellbeing, flexibility and a quality working environment are at the core of the firm's values. We have an extensive range of benefits.

LF understands that everyone will have different long-term personal goals. Consequently, each employee is able to develop a tailored development plan to help them reach their specific career goals. Some of our team members have been assisted back into industry and are now our clients. After a period of time with the firm we offer sabbaticals and international secondments within the RBI network firms.

If you are looking to take your career path all the way to partnership, the path to achieving this will be completely transparent. LF operates a unique 'Path-to-Partner' training and mentoring programme, allowing you to progress from trainee, into management and then Partnership as fast as you are capable of doing so.



# Our Compliance Team

Our Compliance Team are responsible for the operation and continual improvement of the firm's comprehensive business risk management framework, proactively managing all aspects of business risk. The team is responsible for monitoring and interpreting current and approaching regulations and industry guidelines specific to our business.



## Regulatory Compliance Manager

- You will ensure all our obligations and reporting requirements under ICAEW regulations are met
- You will manage our Internal CPD process and reporting
- You will prepare the firm for managing ICAEW Practice Assurance and Audit Assurance Visits
- You will complete and submit our annual returns to ICAEW
- You will keep our firm and partner registrations with ICAEW up to date
- You will liaise with the ICAEW on all relevant matters
- You will provide advice to partners on specific regulated matters as they arise
- You will manage the bulk renewal process
- You will ensure that our client account reconciliations are taking place
- You will manage and adopt new versions of assurance standards such as ISQM
- You will ensure we have the necessary licenses in place for our business operations
- You will plan and perform thematic and specialist compliance and assurance reviews across the business in respect of specific regulatory topics and issues
- You will manage any external compliance and assurance auditors
- You will prepare and present regular periodic compliance and risk management reports to the firm's senior management

# We would love to hear from you if you have...

- Excellent communication and presenting skills
- Capability of developing a comprehensive firmwide compliance regime, yet comfortable remaining 'sleeves-rolled-up' working in the role of compliance
- Personal drive and motivation to work unsupervised
- Proven experience in managing regulatory compliance in a professional services setting
- Sound understanding of legal and regulatory matters affecting chartered accountants as auditors and otherwise
- Good working knowledge of all relevant regulatory regimes impacting a firm of chartered accountants
- Knowledge and a natural curiosity for procedures and industry changes and challenges
- Ability to manage conflict and challenging issues in a professional, assertive and proactive manner
- Industry-recognised qualification(s) in a compliance-related area
- Knowledge of ICAEW ethical and professional standards
- Knowledge of the FCA Regulation
- Understanding of and exposure to CF10, CF11 and Approved Persons roles
- A policy, monitoring or auditing background

# What we will offer in return

A competitive salary as well as a fully comprehensive range of benefits to include:

- Smart Working with core hours from 10am to 4pm
- 26 days holiday per annum plus bank holidays
- Discretionary bonus scheme
- 2% bonus at Christmas
- 4 or 5% pension (matched)
- Private Medical insurance
- Dental insurance
- Interest free season ticket loan
- Enhanced Maternity, Paternity & Shared Parental Leave packages
- Flexible benefits: including healthcare assessments, cycle to work, health cash plan etc
- Employee assistance programme
- 26 days holiday plus bank holidays
- Fresh fruit and snacks in the office every week
- Massage Angels Quarterly
- Annual away day and Christmas party as well as numerous other socials
- Annual wellbeing calendar with free seminars, freebies, lunch & learns
- A supportive working environment where development and progression are actively encouraged!

## Key Contact

**Karen Foot**  
Head of People

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[Recruitment@lubbockfine.co.uk](mailto:Recruitment@lubbockfine.co.uk)

**CLICK TO APPLY NOW**