

STEWARTS

Job description

Job title:	Case and Conflicts Assistant
Reporting to:	Conflicts Manager and MLRO
Department:	Compliance
Purpose of the role:	Working as part of the Case and Conflicts Team (CCT) within the Compliance department to undertake conflict checks, arrange for new matters to be reviewed and opened across relevant systems and ensure post-inception requirements are completed, including Client Due Diligence (CDD).
Hours:	Permanent, full-time
Reviewed:	August 2023

Job responsibilities:

- Administration of firm's centralised client on-boarding functions including conflict checking and obtaining relevant CDD and client engagement documentation.
- Conducting conflict checks using the firm's internal CRM database (InterAction), other internal databases and external information sources to ensure any legal and commercial conflicts are avoided.
- Undertaking screening checks to identify potential "red flags" including conflict, anti-money laundering (AML), sanctions, politically-exposed person (PEP), reputational and ethical risks, and escalating where appropriate.
- Assisting with creation, maintenance and audit of firm's information barriers.
- Ensuring that Case Opening Form and Risk Assessments are fully completed, including appropriate partner approvals. Escalating potentially high-risk clients and matters where appropriate.
- Liaising with fee earners to notify them of appropriate post-inception requirements including CDD completion; signed engagement letters; consumer contract requirements; and addition of opponents to matter records.
- Completion of CDD verification checks in relation to clients and matters, providing copies of CDD documentation to fee earners and liaising with fee earners when necessary to outline further CDD information which may be required.
- Administration of PMS billing controls in matters until relevant CDD information has been obtained. Liaising with fee earners to ensure that outstanding documents and information for matters with "CDD Pending" is identified.
- Identification of potential High-Risk Clients and/or AML or conflict-related issues during CDD checks and escalation of such issues where appropriate.
- Undertaking regular file reviews of existing client/matter records completing audit reports in relation to these.
- Answering ad hoc queries and assisting fee earners with any aspect of the conflicts and new case opening process.
- Keeping up to date with SRA requirements, legislation and good practice in the areas of conflicts management and AML.

- Assisting with training and internal communication relating to conflicts, AML, information barriers and related internal Compliance policies and procedures, and assisting with development and implementation of those policies where appropriate.
- Undertaking administrative tasks, specific assignments and contributing to the wider Compliance department as required.

General skills and experience:

- Experience as a paralegal, administrator or in a comparable role is desirable.
- Strong organisational and administrative skills, attention to detail and ability to work flexibly under pressure.
- Ability to analyse complex data.
- An understanding of professional conduct rules relating to conflicts of interests, the duty of confidentiality and the Money Laundering Regulations.
- Experience of researching and analysing CDD information in compliance with Money Laundering Regulations desirable.
- Experience of undertaking conflict checks at a law firm in compliance with SRA Code of Conduct desirable.
- Excellent communication and inter-personal skills (confident, respectful, positive, articulate, professional and pragmatic).
- Highly computer literate, with excellent IT skills, experienced in Excel and using databases, ability to adapt to new technology and processes.
- Delivers helpful services with a "can do" approach, shows commercial awareness and represents the department/firm appropriately.
- Excellent written skills, compiling data analysis and report writing.
- Ability to demonstrate excellent judgement and discretion regarding confidential and commercially sensitive information Well organised, uses initiative, prioritises appropriately, applies self, shows attention to detail, manages own workload and meets deadlines.
- Demonstrates excellent communication and interpersonal skills (respectful, positive, articulate, professional and sympathetic).
- Shares information and ideas.
- Accepts and follows instructions, listens, makes notes, questions appropriately, co-operates.
- Shows sound judgement and decision-making skills; acts within boundaries.
- Shows commitment, passion and enthusiasm.
- Is a respectful, reliable and supportive team player, and reflects the firm's culture.