

About Williamsons & The Role

Job Title | Compliance Officer

Williamsons, a well established reputable law firm with offices in Hull Bridlington and Driffield are seeking a Compliance Officer to join its forward thinking team serving the communities of Hull and East Yorkshire in our Bridlington Office.

The Role

The Compliance Officer is responsible for ensuring the firm meets all regulatory, legal, and professional standards, with particular focus on SRA compliance, AntiMoney Laundering (AML) obligations, and internal risk management processes. This role safeguards the firm's integrity, supports best practice, and ensures robust oversight of regulatory returns and inspections.

Please Contact -

Carole Dobson

carole.dobson@williamsons.co.uk

WE'RE
HIRING

Key Responsibilities

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SRA Compliance

- Oversee the preparation and submission of all SRA regulatory returns, ensuring accuracy, timeliness, and compliance with current regulatory requirements.
- Act as the primary coordinator for the SRA AML inspections, ensuring the firm is fully prepared, documentation is up to date, and follow-up actions are completed promptly.
- Monitor ongoing SRA guidance, rule changes, and thematic reviews to maintain firm-wide compliance.
- Work closely alongside Compliance Officer for Legal Practice ensuring adherence to the SRA Code of Conduct, terms of authorisation, and statutory obligations.
- Work closely alongside Compliance Officer for Finance and Administration ensuring the firm, its managers, and employees comply with the SRA Accounts Rules.
- Support directors and heads of department with compliance queries, policy interpretation, and risk-related decision-making.

Anti-Money Laundering (AML)

- Lead and manage the firm's AML compliance framework, including internal processes, record-keeping, and risk assessments.
- Conduct and/or oversee AML file reviews, source-of-funds checks, and due diligence monitoring.
- Maintain the PEP (Politically Exposed Persons) Register and ensure escalation procedures are followed.
- Provide guidance and support to staff regarding AML red flags, client due diligence, and ongoing monitoring obligations.
- Assist in responding to AML-related queries from staff and external regulators.

Key Responsibilities

Documentation, Reporting Record Management & File Reviews |

- Ensure all compliance documentation, including AML registers, SRA submissions, and audit files, is accurately maintained and securely stored.
- Conduct and/or coordinate file reviews to ensure compliance with SRA Standards & Regulations, AML requirements, LEXCEL expectations, and internal risk management policies.
- Identify trends, risks, and areas requiring improvement from file review outcomes, and report findings to senior management.
- Support periodic audits and internal reviews relating to compliance, AML, and regulatory obligations.
- Compile and submit data for Office for National Statistics monthly and quarterly reporting obligations

Communication & Coordination |

- Act as a central contact point between departments, Directors, and external organisations.
- Support and liaise with Directors and department heads as required.
- Coordinate staff communications, share operational updates, and support the smooth running of firm-wide initiatives.
- Circulate internal communications, reminders, notices, and policy updates to ensure staff remain informed and aligned with firm standards.

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Training & Awareness |

- Deliver or coordinate compliance and AML training for all staff, including induction and refresher training.
- Promote a culture of compliance across the firm by ensuring staff understand their individual responsibilities.

Skills & Attributes |

- Strong understanding of SRA Standards & Regulations and AML legislation.
- Excellent attention to detail and risk awareness.
- Ability to handle sensitive information with discretion.
- Strong communication skills.

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