



Risk/Compliance Officer
Level 3

Overview

Apprenticeship: Risk/Compliance Officer

Qualification: Level 3

Duration: 15-18 months

Investment Operations Technicians work within the operational and administrative areas of businesses in the Financial Services sector that engage in investment management, trading and reporting activities. Transactions in these businesses can range in size from hundreds of pounds to hundreds of millions of pounds. The support structure underpinning these activities is substantial and varied, with a domestic and global client base of institutional and retail clients that include private individuals, small businesses, collective investment schemes, pension funds, charities, corporations and governments.



Type of job roles the programme is for

- Investment Administrator
- Portfolio Assistant
- Wealth Management Assistant

Qualifications

- Various qualifications available dependent on job role
- Functional Skills in Maths
- Functional Skills in English

Progression opportunities

- Senior Compliance/Risk Specialist Level 6

Core competencies

- Leading people
- Organisational performance
- Decision making
- Communication
- Operational management

Training Process

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- New learners are assessed by a Skills Coach to ensure their suitability for the programme
- After this, they will complete an initial assessment and scoping to identify areas of improvement, and development goals for the apprenticeship
- An apprenticeship induction is then held for new learners, where they will be introduced to the schedule of study

Optional qualifications

There are options available for the relevant exam route across a number of professional bodies.

Gateway

- 15-16 months

Assessment

- 16-18 months
- Reflective Discussion, Portfolio

Pathway

Apprenticeship: Risk/Compliance Officer

There is a clear GC Education & Skills career pathway for the apprentice once they've completed the Level 3 Risk/Compliance Officer course.

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Financial Services Apprenticeship Routes

Level 2

Financial Services Customer Advisor Level 2

Investment Operations Administrator Level 2

Level 3

Insurance Practitioner Level 3

Investment Operations Technician Level 3

Risk / Compliance Officer Level 3

Snr Financial Services Customer Advisor Level 3

Workplace Pensions Administrator / Consultant Level 3

Level 4

Insurance Professional Level 4

Investment Operations Specialist Level 4