

Compliance Paraplanner

Job Description

Overall Purpose of the Job:

As a Compliance Paraplanner, you will have the opportunity to create and maintain the suite of suitability reports used by Appointed Representatives (AR's) of the network. The provision of suitability letter templates will support our AR's in delivering financial advice to their clients in a compliant manner.

Skills, Knowledge and Experience:

- Minimum 3 years Financial Services industry experience, including previous paraplanning experience.
- Excellent knowledge of retail investment, savings, pension and protection products.
- Excellent knowledge of suitability report content, format and requirements.
- Prior experience of drafting suitability letters.
- Ability to communicate with others confidently whilst remaining flexible/adaptable.
- Highly developed analytical, observational and written communication skills.
- Excellent attention to detail.
- Strong organisational skills.
- Proficiency with using various software packages, such as Microsoft Excel and Word.

Qualifications Requirements:

- Significant progress towards the achievement of a level 4 Diploma Qualification.

General Responsibilities:

- Become Subject Matter Expert on the internal system that will allow for a complete and compliant suite of suitability report templates for use by the Network AR Firms.
- Research key aspects of financial products and be able to apply the information to differing advice scenarios.
- Awareness of industry changes to suitability report requirements.
- Proactive management of the content within the system to ensure periodic review and update of content.

Ad-hoc Responsibilities:

- Take on quality assessment tasks and projects as requested by the Quality & Risk Team Leader, such as but not limited to file checking, report analysis and the creation of Management Information.
- Complete tasks to a high standard, and apply initiative to accommodate for wider issues.
- Co-ordinate and deliver training on this system to Member Firms and other Quality & Risk Team Members as and when required to support and enhance the quality of suitability reports.
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Desirable Experience:

- Significant experience within the financial services, preferably in an investment or insurance environment with a good understanding of FCA/PRA regulatory expectations and compliance requirements.
- Senior paraplanner experience.