



# Pensions Specialist Compliance Manager

## Job Description

### **Who We're Looking For**

The Pensions Specialist Compliance Manager shall ensure that all their responsibilities are performed to the highest levels of integrity, quality and transparency and in a manner most likely to promote the success of the Group, taking into account the interests of key stakeholders including clients, employees, regulators, suppliers and society as a whole.

In discharging their principal responsibilities, the Pensions Specialist Compliance Manager shall establish appropriate governance structures for all areas under their control where needed.

### **About Benchmark Capital**

Benchmark Capital powers financial advisers through insight and integrated tools, services and investment solutions that help them differentiate their client proposition.

Helping advisers to look after their clients is at the centre of everything we do. Our award-winning solutions support over 1600 advisers with £18 billion of assets under advice<sup>1</sup>

With a technology-led ecosystem of regulatory, platform, and investment services, and our own financial planning business, our approach is guided by delivering safety and security for customers and focused on positive client outcomes.

We believe that first-class client service and integrated technology are essential components for long-term success. Our seamless, holistic approach works in harmony both to empower advisers and their clients and to generate tangible financial and competitive advantages. We work with some of the most successful financial planning firms in the UK, bringing the power of technology to advice and wealth management

<sup>1</sup>As at 31.09.21

## **The base**

You'll be based at our Broadlands Business Campus near Horsham in West Sussex. It has high standards and international reputation, without being in the city: a big, countryside campus means life will feel a little different.

We support our offices by using cutting edge software and hardware and our spacious campus facilities mean there's a great working environment for the team. With an on-site restaurant, coffee shop and gym, our campus has much to offer. And commuters can relax on our dedicated regular shuttle bus to and from Horsham's main line train station.

We know that helping you balance personal and professional commitments is a big part of that, so we're open to flexible working. Many of our staff work flexibly in many different ways, including part-time. Please talk to us at interview about the flexibility you need.

## **Overall Purpose of the Job:**

Oversight of occupational pension transfer business and the Pension Transfer Specialists within the networks, including managing the committee decision making process and provide regular report. To ensure procedures are updated in line with regulatory and industry updates.

Ensure that the Senior Compliance Manager is made aware of any issues which in the Pensions Specialist Compliance Manager deems material and provides to the Senior Compliance Manager, an annual assessment of their own performance against objectives agreed with them.

## **What You'll Do**

- Keep up to date with regulatory and industry developments
- Provide evaluation reports to the Senior Compliance Manager
- Lead due diligence work streams on business acquisition projects
- Undertake other ad-hoc project work
- Assist with documenting new procedures and policies
- Liaise effectively with the supervisors and senior management in respect of regulatory and internal matters
- Handle network issues for Pensions and Occupational Pensions
- Compile data necessary for PTS regulatory reporting
- Liaise with the team on associated tasks and projects, and provide constructive input
- Provide support to other areas of the Compliance Department
- Apply a risk-based and common-sense approach to the compliance occupational pensions process
- Manage the pre-approval of Occupational Pension Transfer Business (PTS)
- Manage and conduct comprehensive post-sale file monitoring across the network on Occupational Pension business and pensions, in accordance with regulatory requirements

- Undertake quality of advice reviews across all occupational business and all AR firms, maintaining accurate records of trends and communicating them to the team within desired timescales
- Provide technical support for the Compliance Department as required on Occupational Pensions
- Liaising with member firms in regard to pensions queries, and engaging in training with advisers to improve pensions knowledge and skills
- Creation and management of newsletters, bulletins and key documents
- Responsibility for the design, management, and ongoing maintenance of PTS focused audit checklist
- Manage and conduct specialist pension audits with those advisers holding occupational pensions permissions
- Take on tasks and projects as delegated by the Senior Compliance Manager, applying a can-do attitude
- Completes tasks to a high standard, and apply initiative to accommodate for wider issues
- Apply a risk-based and common-sense approach to the compliance monitoring process

### **The Knowledge, Experience And Qualifications You Need**

- Minimum of level 4 Diploma in regulated financial planning (or equivalent), with significant
- Progress towards the achievement of further qualifications desired
- Recognised Occupational Pension Specialist qualification-G60, AF3, AF7 or equivalent
- Detailed knowledge of FCA rules and their interpretation/application
- Strong Occupational Pensions product knowledge and familiarity with FCA Pension Transfer standards
- Ability to train and motivate others whilst remaining flexible/adaptable Highly developed analytical, observational and communication skills

### **The Knowledge, Experience And Qualifications That Will Help**

- L6 Advanced Diploma working towards Chartered Status J07 Supervision in a Regulated Environment
- Specialist qualifications:
- Single share-based investments- L4 diploma+ IMC or securities gap fill
- Significant compliance experience within the financial services, preferably in an investment or pensions environment. An in-depth understanding of FCA/PRA regulatory expectations and compliance requirements.
- Experience working within a network or firms with appointed representatives

### **What You'll Be Like**

- You must act with integrity
- You must act with due skill, care and diligence

- You must be open and cooperative with the FCA and other regulators
- You must pay due regard to the interests of customers and treat them fairly
- You must observe proper standards of market conduct

**We're Looking For The Best, Whoever They Are**

Benchmark Capital is an equal opportunities employer. You're welcome here whatever your socio-economic background, race, sex, gender identity, sexual orientation, religious belief, age or disability.

**Important Information:** Issued by Benchmark Capital Limited, Broadlands Business Campus, Langhurstwood Road, Horsham, West Sussex, RH12 4QP. Registration in England No 09404621.