



Compliance and Training Supervisor

Job Description

Who We're Looking For

The Compliance and Training Supervisor will have detailed knowledge of FCA rules and their interpretation/application. They will have the ability to train and motivate others whilst remaining flexible and adaptable and possess highly developed analytical, observational and communication skills.

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 150 advice firms, with £17.1 billion of assets under advice¹

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

¹As at 31.03.21

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.

What You'll Do

- Keep up-to-date with regulatory and industry developments
- Maintain a specified span of control of up to 40 Registered Individuals, managing and scheduling all aspects of oversight competently and within desired timescales
- Monitor AR firms, coaching and mentoring approved persons both remotely and on-site, to ensure compliance with both regulatory rules and Network procedures
- Liaise effectively with senior management in respect of regulatory and Network issues
- Assist the Compliance Director in providing a timely response to requests for information from the FCA
- Assist in making all appropriate notifications to the FCA
- Apply a risk-based and common-sense approach to the compliance monitoring process
- Undertake appropriate file reviews, ensuring that the findings are accurately recorded and handled appropriately so as to mitigate associated risks
- Undertake regular KPI reviews, ensuring that KPI data and management information in respect of AR firms is accurately recorded whilst identifying adverse trends/risks and reporting or handling them accordingly
- Test approved persons according to scheme requirements in respect of product knowledge and appropriate selling practices, and provide relevant feedback and training where necessary
- Test and supervise new joiners to AR firms, ensuring that supervision and formal sign-off procedures are applied as appropriate
- Ensure that financial promotions for member firms are approved in accordance with the FCA rules, whilst aiding firms in interpreting and applying the regulatory guidelines on advertising
- Take on tasks and projects as delegated by the Compliance Director/Compliance Manager, applying a can-do attitude and a timely approach to work outside that of an individual span of control
- Complete tasks to a high standard and apply initiative to accommodate for wider issues.

The Knowledge, Experience and Qualifications You Need

- L6 Advanced Diploma working towards Chartered Status
- J07 Supervision in a Regulated Environment
- Specialist qualifications:
 - Equity Release/lifetime mortgages – ER1 & HR1 or equivalent.
 - Occupational pensions – Combination of J04, J05 & AF3 or equivalent.
 - Long Term Care – CF8
 - Mortgages - CeMAP/MAQ/CF6

- Single share based investments – L4 diploma + IMC or securities gap fill
- Significant compliance experience within the financial services, preferably in an investment or insurance environment. An in-depth understanding of FCA/PRA regulatory expectations.
- Experience working within a network of Financial Advisers

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.