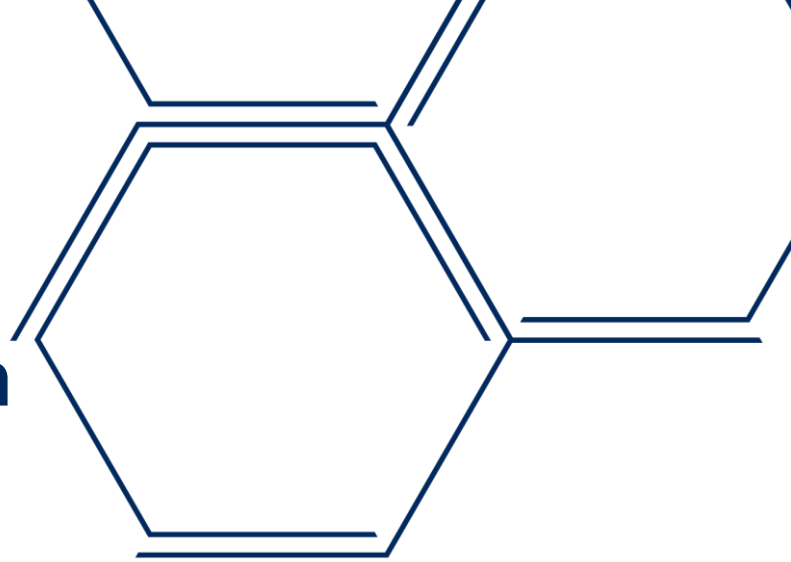


Head of Platform Controls

Job Description



Who We're Looking For

This is a critical senior leadership line role with full responsibility for the controls and regulatory reporting processes of the Platform. The role holder must possess strong senior operational skills, commercial acumen with a pure focus on ensuring positive consumer outcomes to ensure consistent delivery across all platform risk and control reviews and reporting.

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.

Certification Function/Responsibilities

This role has the following responsibilities for Fusion Wealth Limited:

- Managing Significant Business Unit: Platform Controls

- CASS (operational) oversight function: Responsible in practice for the day-to-day operational activities of CASS Oversight
- Functions subject to Qualification requirements:
 - Overseeing on a day-to-day basis, the holding of client money; or safeguarding and administering investments (i.e. administrative functions in respect of CASS compliance)
 - Overseeing on a day-to-day basis administrative functions in relation to managing investments

Discharge of Responsibilities

The Head of Platform Controls 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 Head of Platform Controls shall establish appropriate governance structures for all areas under their control where needed.

Reporting Obligations

In discharging their responsibilities, the Head of Platform Controls shall:

- Ensure that the Group Head of Operations, Fusion Wealth is made aware of any issues which in the Head of Platform Controls deems material
- Provide to the Group Head of Operations, Fusion Wealth, an annual assessment of their own performance against objectives agreed with them.

What You'll Do

- Accountability for performance and procedures of Platform controls
- Make decisions which significantly affect operating results
- Identification of risks posed to the business and proactive participation in Business Risk Committee
- Constantly seek to improve the operational controls by reviewing and challenging inefficient processes and seeking ways to strengthen controls through development, automation or process re-engineering
- Collaborative working with wider Benchmark Teams and companies in developing priorities and plans
- Ensure the operational standard operating procedures are compliant, efficient, detailed and always up to date by working with the Head of Operations
- Manage and motivate teams to achieve company objectives.
- Define roles and regularly review responsibilities, identifying individual development areas and work with HR to identify appropriate learning solutions
- Accurate MI, KPI's and SLA's are delivered in a timely manner monthly
- Lead and support the delivery of system and operational risk and control related projects and enhancements in line with agreed project timeline and within budget
- Key responsibility for Audits, Risk Management through appropriate controls and compliance with Regulatory papers/guidance

The Knowledge, Experience And Qualifications You Need

- 5 GCSE's including maths and English language
- 2 A Levels or equivalent
- IMC, studying towards ACII / bachelor's degree
- CISI Certificate including; Investment Operations, UK Financial Regulation, Administration of Settlement & Investments and Introduction to Securities and Investments

- Minimum of 5 years experience in managing teams at Fusion or another platform
- Accurate with good attention to detail
- Ability to work as part of a team and autonomously
- Excellent communication (written and oral), customer relation and influencing skills up to Board level.
- Operational knowledge of continuous improvement tools and have experience of managing large high profile accounts.

The Knowledge, Experience And Qualifications That Will Help

- Sound SIPP/Pension and ISA Management knowledge
- Good understanding of equity and fund trade life cycle
- Clear, concise and appropriate communication
- Outstanding numeracy and literacy skills with a keen eye for detail
- Highly motivated, willing to embrace change and learn all the time

Committee Memberships

- Business Risk Committee
- Conflict of Interest Committee
- Security Committee

Conduct rules

This role is within an entity which is covered by the UK's Senior Manager and Certification Regime.

As such, the role holder is required to comply with the following Individual Conduct Rules:

- Rule 1: You must act with integrity
- Rule 2: You must act with due skill, care and diligence
- Rule 3: You must be open and cooperative with the FCA and other regulators
- Rule 4: You must pay due regard to the interests of customers and treat them fairly
- Rule 5: 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.