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| **Job Description** | T&C Supervisor/Auditor |
| Direct Line Manager | Carl Taylor |
| Key responsibilities | Performance Indicators |
| * Supervise Sense and/or Lyncombe advisers in line with the company T&C Scheme. Including the undertaking and documentation of one-to-one meetings with advisers, as allocated to you by the Head of T&C.
* Set actions for advisers / other AR Firm staff to address risks identified through one-to-one meetings or separately, and track progress with actions set. Actions should be set in line with the company T&C Scheme.
* Identify any risks the Network is exposed to which you do not feel can be adequately managed through standard processes and escalate these to the senior management team.
* Carry out assessments on advisers applying to join the Network, in line with company processes.
* Provide support for advisers and other AR firm staff newly joining the Network, in line with company processes.
* Undertake AR firm audits to assess firms’ systems and controls, in line with company processes, as allocated to you by the Head of T&C.
* Answer queries received from AR firms within reasonable timescales and accurately, seeking guidance to assist where appropriate.
* Perform additional induction, monitoring, investigatory, remedial and exit/termination work as requested by senior management.
* Develop and maintain positive relationships with AR Firms, displaying professionalism at all times.
* Liaise with other T&C team members, and Network colleagues in other areas to provide a cohesive and consistent service to our AR Firms.
* To fully participate in and adhere to any performance management process the Company has in place, in a professional and constructive manner.
* Understand, embed and endorse TCF principles within your role.
* Maintain your own competence within your role by maintaining and developing your skills and knowledge via appropriate personal development activity. This should be in line with the T&C Scheme and to cover areas requested by senior management.
* **To fully understand and adhere to the Consumer Duty.**
 | * **Adherence to FCA and company guidelines**
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| Key Competencies |
| **Knowledge Requirements**· FCA/regulatory knowledge· Commercial/organisation awareness· Industry knowledge· Product knowledge· Compliance knowledge· Money Laundering – regulatory knowledge**Skills Requirements:**· Communication skills· Working with others· Problem solving and decision making· People management· Drive and effectiveness· Use of technology· Managing and interpreting information· Time management**Skill Requirements:**Essential Qualifications:· Diploma in Financial Planning (or equivalent level 4 qualification)Cemap or MAQ (CF6)\*H15 or J07\*\*If the individual is prepared to attain these exams within 12 months of joining the role, we will still consider strong candidates.Desirable Qualifications:· AFPC· AF6Experience requirements:· Minimum 2 years' financial services experience.Desired experience:· Experience in providing written and verbal feedback to financial advisers.· Experience of using Intelliflo Office. |
| SM&CR Requirements |
| * **You must act with integrity.**
* **You must act with due skill, care and diligence.**
* **You must be open and cooperative with the FCA, the PRA 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.**
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