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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** |
| 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  · AF6  Experience 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.** | |