**JOB DESCRIPTION**

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| **ROLE: T&C Supervisor/Auditor** |
| **COMPANY:** Adviser Services Holdings Ltd |
| **BUSINESS AREA: T&C** |
| **LOCATION: Home Based** |
| **REPORTING TO: Head of T&C** |

**JOB SUMMARY / MAIN PURPOSE**

The purpose of the role will be to Supervise Sense and/or Lyncombe advisers in line with the company T&C Scheme.

The T&C Supervisor is also required to complete firm audits in accordance with ASHL policy and procedures.

To actively manage and support advisers and firms, including support staff, that fall within the Supervisor’s allocated span of control.

**MAIN DUTIES & RESPONSIBILITIES**

Key Responsibilities

* Supervise Sense and/or Lyncombe advisers in line with the company T&C Scheme. This includes 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 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.
* Ensure up to date knowledge is maintained and applied in respect of departmental policies, procedures, and standards, and actively contribute to their development.
* Record all appropriate information on the Company back-office systems as required in line with T&C/Audit standards.
* Deal with queries from advisers, either by email or via phone. Build and reinforce positive relationships and ensure that issues are resolved.
* Attend and positively participate in team and company meetings as required.

Performance Indicators

* Individual, team and department performance against agreed targets and objectives.
* Understanding & interpretation of current and changing regulatory rules and principles.
* Use of interpersonal and relationship building skills to produce effective outcomes resulting from monitoring work carried out.
* Identification and escalation of key risks in an appropriate and timely manner.
* Sound interpretation of regulatory requirements.
* Quality assurance checks.
* Internal/external feedback.
* CPD and product testing.
* Regular 1:1’s.
* Clear identification of risks and review of action plans and tracking activity.

Any other duties deemed appropriate by the company.

**KEY COMPETENCIES**

Knowledge Requirements (desirable)

* FCA/Regulatory knowledge
* Commercial/organisation awareness
* Industry knowledge
* Product knowledge
* Compliance Knowledge

Essential Qualifications: -

* Diploma in Financial Planning (or equivalent level 4 qualification)
* CeMAP or MAQ (CF6)\*\*

\*\* If an individual is prepared to attain these exams within 12 months of joining the role, strong candidates will be considered.

Desirable Qualifications:

* AFPC
* AF6

Skills Requirement

* Minimum 2 years financial services experience
* Communication skills, verbal and written
* Working with others
* Problem solving and decision making
* Excellent customer service
* Drive and effectiveness
* Use of technology
* Job expertise
* Managing and interpreting information
* Time management

SMCR

* 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. Ability to independently handle multiple, simultaneous tasks and meet tight deadlines, providing a consistent level of quality and accuracy.
* Adherence to FCA’s Conduct Rules at all times.
* Superior time management and organisational capabilities, including the ability to accurately benchmark project length and manage a high-volume workload.
* Good people skills with experience of dealing with both internal and external stakeholders, including obtaining necessary information, and identifying, raising and dealing with relevant issues.

I agree to the content of this job description.

Signed:

Print Name:

Date: