



Job Description: Financial Planner

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| JOB TITLE: | Financial Planner |
| SALARY: | Competitive |
| HOURS: | 37.5 per week |
| ANNUAL LEAVE: | 25 days |
| RESPONSIBLE TO: | Richard Gray - Regional Managing Director |
| POST BASED AT: | 4 Chiswell Street, London, EC1Y 4UP |
| DURATION OF CONTRACT: | Permanent |

Relevant Skills and Knowledge

- The requisite generic financial services knowledge and level 4 qualification.
- Detailed knowledge and understanding of the firms record keeping requirements.
- Provision of advice to clients in a compliant manner as detailed in the firms Business Manual and Risk Plan.
- Valid SPS Certificate
- Achieve CAS status

General Responsibilities

- Comply with the Financial Services and Markets Act 2000, the FCA Statements of Principle & Code of Practice and the relevant FSA rules at all times.
- Comply with the relevant Compliance, T&C and Anti-Money Laundering Procedures of the firm at all times.
- Keep up to date with all relevant product, legislative or technical changes.

Specific Responsibilities

- Contact potential clients to assist with goals based financial planning.
- Ensure sufficient client information obtained and analyse information gathered.
- Undertake sufficient product and market research in conjunction with paraplanners.
- Meet client review service standards of the business
- Ensure suitable recommendations are made.
- Ensure all supporting documentation is available and maintained.
- Attain and maintain level of competence as required by the firm.
- Maintain all other standards of performance as required by the firm.
- Ensure relevant CPD is maintained and recorded accurately.
- Full paraplanner and admin support is provided to all financial planners.

NB: This forms part of your contract of employment.