

March 2022

## Job description



**Name:**

**Job title: Financial Planner**

**Reporting to: Falon Counsell**

**Location: 60 High Street, Wellington, Somerset, TA21 8RD**

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### **Responsibilities**

This role requires in depth knowledge of investments, tax and estate planning, savings and money management and the ideal candidate will also possess excellent people skills to be utilised with their clients and all company staff.

Our financial planners provide clients with specialist advice on how to manage their money. As an Independent Financial Adviser, you will be required to consider all retail investment products and providers available to meet the client's needs. You must always provide clients with unbiased and unrestricted advice and as a firm representative you must maintain company service / compliance standards throughout.

### **Key responsibilities and accountabilities:**

- You will put clients' needs first and always conduct client business in line with contractual obligations and internal Training & Competence and Compliance standards.
- You are expected to run your own diary and contact clients / arrange meetings, either within an office environment or in clients' homes or business premises.
- You will be expected to manage client expectations and meet client service standards.
- You will be expected to source new clients for the business from both introduced professional connections and your own leads.
- You will closely work with your allocated administration support, ensuring all client correspondence is generated by them.
- Accurately source and then provide full information to the allocated paraplanner to write client specific / personalised suitability reports and organise additional client information as requested.
- Take responsibility for your client's suitability reports and all your business transacted.
- Attend monthly consultant training sessions.
- Ensuring all your client files are compliant on an ongoing basis.
- Ensure that significant risk issues are referred to the Head of Compliance where appropriate.
- Make a constructive contribution to the continuing development of the team and group firm.
- Proactively enhance industry knowledge, through external and internal sources.
- To charge clients fairly and in accordance with the company's guidelines.
- You will maintain Continuous Professional Development (CPD) on a monthly basis.

Your tasks will vary depending on your role but will typically involve:

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- Conducting in-depth reviews of clients' financial circumstances, current provision and future aims and objectives.
- Analysing information and preparing plans best suited to individual clients' requirements.
- Completing risk profiling assessments.
- Researching the marketplace and providing clients with information on new and existing products and services.
- Designing and implementing financial strategies.
- Providing clients with sufficient information to make informed decisions.
- Reviewing and responding to clients changing needs and financial circumstances.
- Carry out networking events and educational professional connection / client events to build our brand and encourage new lead generation.

These duties are not to be regarded as exhaustive and you may be required to perform such other and / or additional duties within your skill and competence as the company may require.

### **Knowledge, Skills, Experience**

- Demonstrate practical awareness and up to date knowledge of retail financial products and current regulatory expectations.
- Analytical in solving tasks with a keen attention for detail.
- Possess excellent organisational and time management skills with an ability to work under pressure and prioritise.
- Deliver effective and positive communication, and demonstrate competent use of IT.
- A minimum of a Level 4 Diploma in Financial Services.

### **Attitude & behaviour**

- Desire to complete tasks to the highest standards and in a timely fashion, taking ownership and accountability for own actions.
- A positive and proactive approach to work and a desire to help and support the wider team.
- To include a helpful can do approach to problem solving and assisting wider team as and when required to resolve issues in a most sensible and time efficient manner.
- Calm and considered outlook in approach to problem solving.