

KEY JOB TASKS AND SKILLS

PARAPLANNER

Based at: ONE Jesmond Three Sixty, Jesmond, Newcastle upon Tyne NE2 1DB

Purpose of the role

To complete a number of non-client facing tasks involved in preparing and administering a Financial Plan and / or Report for clients.

Skills and knowledge

Skills

- Excellent inter-personal skills, both written and verbal.
- Accurate with good attention to detail.
- Time management.

Knowledge

- Detailed knowledge of the FCA's rules and requirements.
- Detailed knowledge of the FCA's and the firm's record keeping requirements.
- Broad knowledge of the financial services sector.
- High level of technical knowledge.
- CII Diploma Level 4 or working towards

Responsibilities

General

- Keep knowledge fresh with new product, technical and legislative changes within the marketplace.
- Comply at all times with the firm's Compliance; Training & Competence; Complaints and Data Security policies / procedures.
- To ensure that the firm's clients are treated fairly at all times.
- To work as part of a team alongside the firm's advisers and administrators to provide clients with a professional ongoing Financial Planning experience.

Specific

To prepare and maintain client files

- Once in receipt of a completed 'factfind', collate all the relevant quantitative detailed information required to compile a financial services report.
- Check all paperwork / information is available to ensure that the client file meets the FCA's rules and requirements.
- Discuss the client's needs and objectives with the relevant adviser.

To prepare recommendations

- Undertake research to identify suitable solutions to meet the client's needs and objectives.
- Prepare information for analysis by the adviser.
- If applicable, liaise with the client's legal and tax advisers.
- Prepare and discuss draft recommendation report with adviser.

To implement recommendations

- Prepare suitability reports in accordance with the agreed recommendations.
- Ensure all compliance paperwork is in order.
- If relevant, act on any changes made by the client.
- Implement the chosen / agreed investment strategies.

To undertake client reviews

- Act as main point of contact and deal effectively with queries from clients and other parties.
- Establish and build strong relationships with clients.
- If required, attend client meetings with adviser.
- Review investment portfolio, asset allocation, risk profile etc.