

Job Description	T&C Supervisor/Auditor
Direct Line Manager	Tracy McCoy
Key responsibilities	Performance Indicators
<ul style="list-style-type: none"> 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. 	<ul style="list-style-type: none"> Adherence to FCA and company guidelines
Key Competencies	
Knowledge Requirements <ul style="list-style-type: none"> · FCA/regulatory knowledge · Commercial/organisation awareness · Industry knowledge · Product knowledge · Compliance knowledge · Money Laundering – regulatory knowledge 	

NOTE: This is not an exhaustive list of duties. The Company also reserves the right to vary or amend the duties and responsibilities of the post holder at any time according to the needs of the company's business.

Updated: July 2023

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.

Salary Range:

46-50k per annum

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.**

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