



Job Description

Home or office-based, full time, case review role.

Working as part of the Adviser Services Group including the Sense and Lyncombe financial adviser networks.

We are looking to add to our team of case reviewers to support our growing adviser communities.

Essential Qualifications:

- Diploma in Financial Planning (or equivalent level 4 qualification)

Desirable Qualifications:

- Qualifications for specialist areas e.g. ER1, CF8, AF3/7
- Level 3 mortgage qualification (e.g. CF6)

Experience requirements:

- Minimum 2 year's financial services experience

Desired experience:

- 1 year or more case review experience including providing written and verbal feedback to financial advisers
- Experience of using Intelliflo Office.

Key Responsibilities

- Check advisers' client files of core products including protection, mortgage, savings, investment, personal pension and general insurance business sales against regulatory and company standards in respect of documentation and suitability of advice, ensuring they are reviewed thoroughly, fairly, consistently and promptly
- Check advisers' client files for specialist area products including equity release, long term care and specialist pension (defined benefit transfers) business sales against regulatory and company standards in respect of documentation and suitability of advice, ensuring they are reviewed thoroughly, fairly, consistently and promptly (where the case reviewer has the relevant qualification).
- Identify risk issues on cases reviewed and recommend corrective actions, applying the principles of Treating Customers Fairly

- Prepare feedback reports to advisers / T&C Supervisors highlighting development needs and action points and requesting further information and corrective action as necessary
- Record all appropriate information on the Company back office systems as required in line with case review standards.
- Manage own case load to ensure all outstanding action / information is followed up, completed and resolved appropriately and within Company timescales, liaising with Advisers / T&C Supervisors as required.
- Highlight any breaches, inconsistencies or trends identified to the Head of Case Monitoring and /or Compliance Director as appropriate.
- Deal with queries from advisers, either by email or via supervisors. Build and reinforce positive relationships and ensure that issues are resolved, and mutually acceptable solutions are found.
- Ensure up to date knowledge is maintained and applied in respect of departmental policies, procedures and standards, and actively contribute to their development.
- To fully participate in and adhere to any performance management process the Company has in place, in a professional and constructive manner.
- Carry out additional reviews to assist with appeals, complaints and investigations when required.
- Maintain appropriate training records and ensure CPD is logged, adhering to the standards of the relevant professional accreditation body.
- Attend and positively participate in team and company meetings as required
- **To fully understand and adhere to the Consumer Duty.**

Knowledge Requirements

- FCA/regulatory knowledge
- Commercial/organisation awareness
- Industry knowledge
- Product knowledge
- Compliance knowledge

Skills Requirements:

- Communication skills, particularly written feedback skills
- Analytical thinking
- 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

Job Types: Full-time, Permanent

Salary: £40,000.00-£45,000.00 per year

Benefits:

- Cycle to work scheme
- Private medical insurance
- Sick pay
- Wellness programme
- Work from home

Schedule:

- Monday to Friday
- No weekends

Experience

- Financial Services Compliance: 2 years (preferred)

Licence/Certification:

- Diploma in Financial Planning/equivalent level 4 qualification (preferred)

Work Location: Remote

In applying for this role, you are agreeing to our privacy notice which can be found here:

<https://ashlgroup.co.uk/hubfs/ASHL%20Job%20Applicants%20Privacy%20Notice%20v1.2%20for%20Indeed.pdf>

Send CVs to Clive Freeman, Case Review Manager
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