

# Assistant, Paraplanning

Business Unit	Financial Services	Department	Paraplanning
Reporting Line	Team Leader, Paraplanning / Manager - Client Delivery	Location	Various

## Role Overview

### Job purpose

To prepare suitability reports for simple advice for a team of Financial Planners whilst developing and improving knowledge under supervision to graduate to full Paraplanner status. To ensure that the preparation of advice is of the highest quality and delivered in an efficient manner whilst mitigating any risks to the business and assisting with the achievement of business targets.

### Key Responsibilities

- Prepare suitability reports appropriate to level of experience and under relevant supervision.
- Carry out any necessary technical research
- Ensure client records contain sufficient Know Your Client information to demonstrate suitability of our advice, and that they are kept accurate and up to date at all times
- Communicate effectively with the Financial Planners to manage expected delivery dates of reports
- Responsible for managing process, tasks and complying with FCA and compliance guidelines
- Participate in team meetings highlighting issues and owning actions through to resolution
- Maintain core systems ensuring all documents are uploaded to the back office to support the advice
- Identify and report any risks, breaches, or errors through ensuring risks are logged through to mitigating actions and controls
- Proactively enhance industry and company knowledge through external and internal sources and maintain an accurate CPD log

### Key Skills and Experience

- Proven Financial Services administration experience.
- Good organisation and prioritisation skills; able to work independently and within a team.
- Good communication skills both written and verbal.
- Literacy, numeracy, and analytical skills are essential.

### Professional Qualifications and Education

- Excellent standard of education ideally degree educated
- Holds Level 4 Diploma in Financial Planning (DipPFS) desirable

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# Our Values and Behaviours

## Personal

- ★ We take time to listen to & understand people's individual needs
- ★ We treat everyone fairly & with respect
- ★ We are honest & genuine

## Performance

- ★ We are ambitious for our clients and act with their interests in mind
- ★ We keep our promises & deliver excellence at pace
- ★ We lead the way and embrace new ways of working

## Partnership

- ★ We build lasting, mutually beneficial relationships
- ★ We value everyone's contribution
- ★ We partner across the full breadth of our expertise to create shared value

# Consumer Duty

Understand and maintain awareness of your responsibility in relation to the Consumer Duty rules and expectations. Take personal ownership for your actions and be an advocate of Consumer Duty to ensure we deliver good outcomes to our customers, in particular, in relation to the expected Consumer Duty outcomes:

- **Products and Services** – Products and services are fit for purpose
- **Price and Value** - Price the customer pays for a product or service is reasonable compared to the overall benefits
- **Consumer Understanding** – Customers are given the information they need, at the right time, and presented in a way they can understand
- **Consumer Support** – Enable our customers to realise the benefits of the products or service they buy, pursue their financial objectives, and act in their own interests