

Job Description

Job Role:	Financial Adviser
Job Title:	Financial Adviser
Business:	Ascot Wealth Management
Reports to:	Mark Insley
Location:	Sunningdale Office

Company Profile

Ascot Wealth Management was created in 2010 by Mark Insley and has evolved into a wide scoped wealth management practice owned and shaped by its clients. We provide a fresh perspective on the industry and reflect this in the wide array of solutions we provide for clients. We advise clients on a number of areas including:

- Investments
- Pensions
- Protection
- Tax Strategies
- Estate Planning
- Property
- Life Planning

We are a young, forward-thinking company looking to change the industry and become a major player in the sector in the coming years. We continue to focus on client needs while at the same time creating an environment for young individuals to become competent and thrive in an increasingly competitive industry. Ascot Wealth Management Ltd has rapidly expanded and the Cape Town office is the first of several new offices that will be opening in the near future.

For additional information, please visit our website www.ascotwm.com

Key Purpose of the Role

The core purpose of the role is to work as a qualified and experienced adviser once signed off as a fully competent financial adviser to Ascot Wealth Management (AWM) clients under our 'road to competency' process.

Key elements:

- To provide suitable advice to AWM clients even if this results in no business being written.
- To ensure that any advice given or recommendations made are based upon a sound and thorough understanding of their client's needs and circumstances.
- To be aware of and adhere to the firm's advisory process when dealing with clients.
- To maintain comprehensive records of all dealings with clients as dictated by the compliance manual.
- To maintain an understanding of these procedures and Compliance requirements.
- To establish and maintain a programme for maintaining Competence.
- Ability to conduct research and comparisons across a range of providers and analyse their

appropriateness on a client specific basis

- Studying and logging Continuous Professional Development (CPD) including passing or refreshing any required qualifications

Job Standards For Role

- Have a sound knowledge of financial planning in the UK regulatory environment
- Qualified to Diploma or Chartered status
- Fully embracing and working diligently towards the AWM road to competence, adhering to FCA regulations and AWM's Compliance procedures and controls
- Develop and maintain systems and procedures which improve their efficiency and effectiveness of reviewing client's financial needs, making recommendations and submitting their business
- A high level of analytical capability with a high level of commercial experience/judgement
- Producing high quality meeting collateral for a wide range of client audiences
- Accurate client case submission so that para planners can submit the business without failures
- Assist in the development of less experienced members of staff
- Work well as part of a team and communicate with team members to ensure meetings are prepared for in a timely and accurate manner
- The ability to work as part of a team and to deal with colleagues, clients and providers at all levels outside our business
- Provide a point of contact for clients and providers when the firm principal is unavailable
- Committed to operating under TCF and FCA principles

Mandatory Job Standards of the Job Holder

1. **Safety.** To ensure the health and welfare of the job holder (and his/her team if applicable) in accordance with AWM's Health & Safety policy.
2. **Data Protection.** To access, use or disclose customer information only when needed for the job in accordance with AWM's Data Protection Policy. Any other access may only be made on receipt of additional approval from an authorised person in AWM. To ensure that the job holder (and his/her team if applicable) is made aware of the need to safeguard sensitive customer information, so that customers perceive AWM to be a trustworthy organisation.
3. **Regulation and Competition.** The job holder will understand the regulatory, fair trading and competition rules and have an awareness of the FCA Handbook relating to their work sufficiently to be able to comply with them, relying on their own knowledge or on their ability to recognize when they will need specialist support.
4. **Non solicitation of clients.** The post holder shall not solicit the business of either investors or business owners affiliated with Ascot Wealth Management (AWM), Ascot Estate Planning Ltd, Model Your Cashflow Ltd, Blue Summerwood Ltd, Red Summerwood Ltd, Platinum Summerwood Ltd, Navy Summerwood Ltd, Pembroke Alexander Ltd or AWM South Africa for a minimum of two years from their termination of employment with the firm
5. **Non solicitation of other employees:** The post holder shall not solicit the recruitment of staff from either AWM, Ascot Estate Planning Ltd, Model Your Cashflow Ltd, Blue Summerwood Ltd, Red Summerwood Ltd, Platinum Summerwood Ltd, Navy Summerwood Ltd, Pembroke Alexander Ltd or AWM South Africa for a minimum of two years from their own termination of employment with the firm

Application Details.

Please apply with a CV and brief covering letter to leah.saunders@ascotwm.com.

Closing Date: Ongoing