FINANCIAL SERVICES

Recruitment Pack

IFA Administrator / Junior Paraplanner

020 8543 0111

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Contents

Welcome from the Managing Director

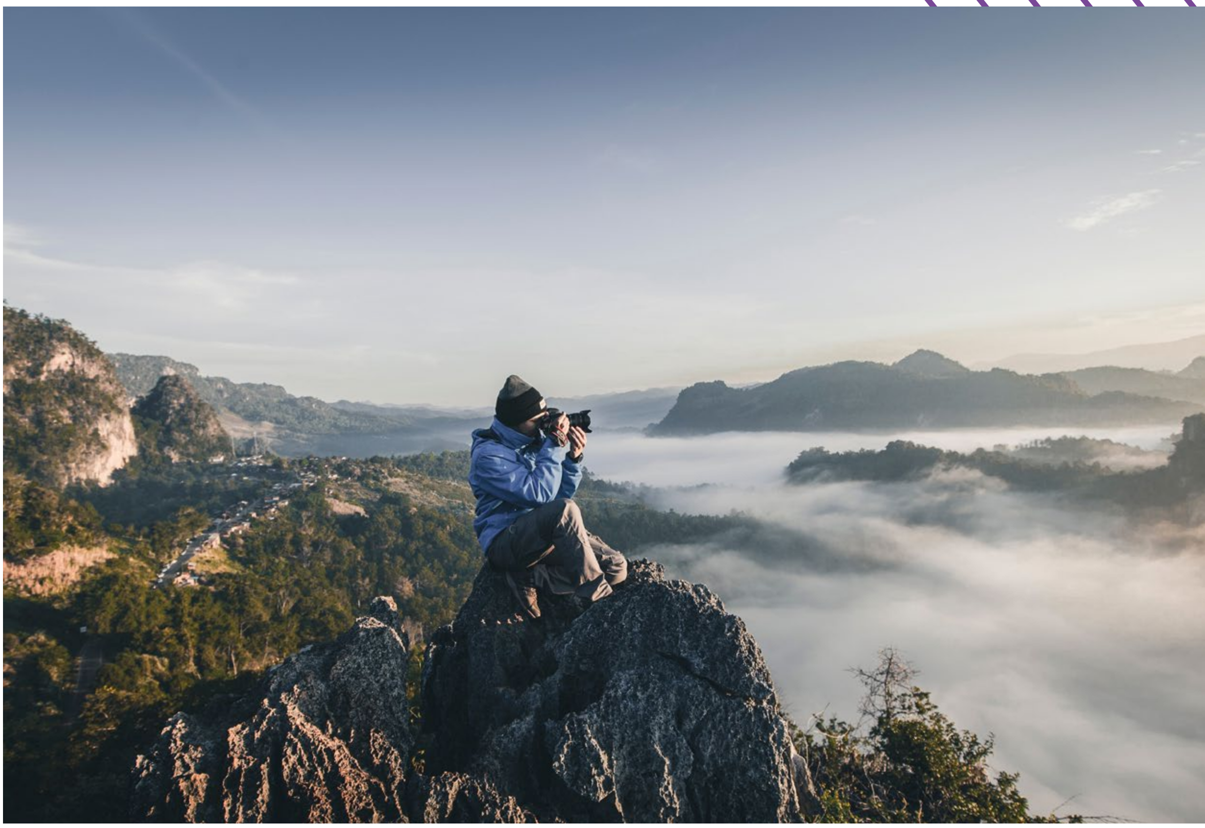
Thank you for your interest in Gem & Co Financial Services Ltd and IFA Administrator / Junior Paraplanner vacancy. We are excited to be offering this new position helping our company to manage our continued growth and to ensure we achieve our business targets.

As a successful candidate, you will be experienced in technical administration within the Financial Services industry. You will report to the Operations Manager and provide administrative and technical support to our three Financial Planners.

If this exciting opportunity appeals to you, and you have the requisite experience and skills that we are asking for, then we look forward to welcoming your CV.

Gareth Rees

Managing Director



About Gem and Co Financial Services Ltd

Since 1999 Gem & Co Financial Services Ltd have been providing independent financial planning services to clients in our local Wimbledon area and beyond. We are committed to providing financial planning with confidence, commitment, and clarity. In short, we help our clients plan for the life they want to live.

As a Chartered (CII) and Accredited (CISI) firm, we are leaders in our profession; we continually demonstrate our ability to provide advice and service of the highest standard. To complement this, our independent status means we can provide financial advice that is truly bespoke. Our accreditations demonstrate our commitment to our clients and our craft.

Many of our clients live in the local Wimbledon area, but we also work with people who live further afield and value meeting their advisory team in person. Over the years, we've developed specific expertise in working with professionals, executives, retirees and business owners.

Our Staff and Structure

Our team currently consists of 12 people made up of Financial Planners, an Operations team, Client Services Administrators, Technical Administrators and a Marketing & Finance Manager

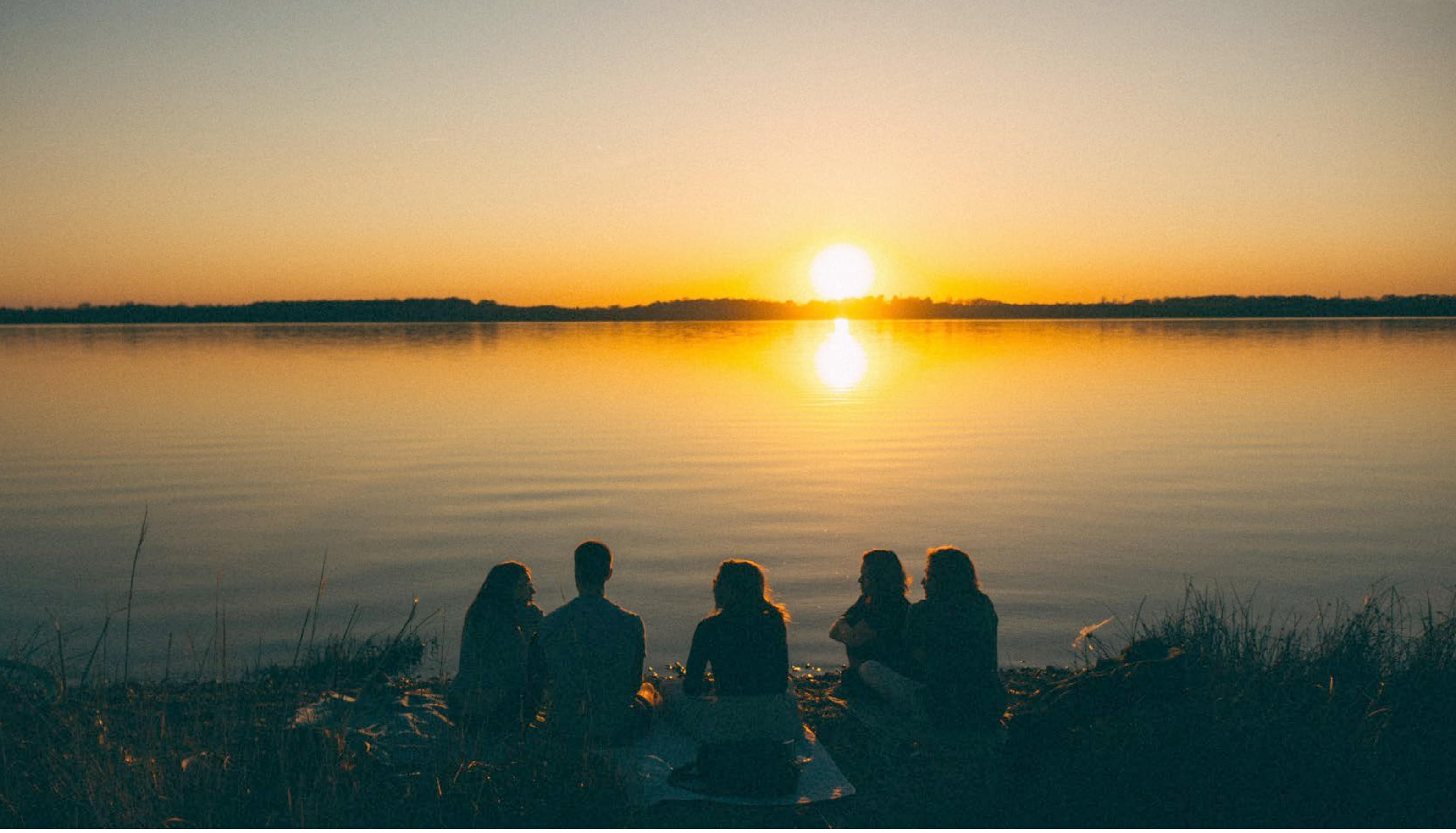
The new IFA Administrator / Junior Paraplanner will work closely with the Client Service Administrators to provide support to the Financial Planners. They will report to the Operations Manager.

Our Vision & Mission

To be industry leaders and recognised experts within the financial planning market, delivering unparalleled levels of service to our clients while cultivating a strong, motivated professional environment, driven by the desire to educate and support every member of the team.

We are a successful firm of financial planners operating at the forefront of our profession. As a bespoke business we place great emphasis on the relationships we build and maintain with our clients, team members and other stakeholders.

Our vision is to transition from a business that has grown organically through word of mouth and professional connections to a systematic growth business model whilst retaining our core values.



JOB DESCRIPTION

JOB TITLE: IFA Administrator / Junior Paraplanner

PURPOSE OF JOB: To provide administrative and technical support in all aspects of financial planning and advice.

REPORTS TO: Operations Manager

KEY RESPONSIBILITIES & ACCOUNTABILITIES

Business Processing

- Send letters of authority and gather accurate information
- Check information received from service & product providers for completeness and accuracy.
- Assist with production of technical calculations.
- Support the technical team in preparation of suitability and research work.
- Obtain illustrations and pre-populate application forms.
- Check accuracy and completeness of new business documentation.
- Ensure that all business applications are processed accurately and efficiently, in a compliant manner to the company standards.
- Ensure all supporting documentation is maintained as per company procedures.

- Ensure all work is followed up promptly in line with company standards.
- Liaise with service & product providers to ensure timely and accurate responses to clients (progress chasing).
- Produce accurate portfolio valuations.
- Undertake relevant product and investment research as instructed by the technical team or Financial Planner.
- Ensure fund switches / rebalances / withdrawals and top ups are carried out accurately and within company timescales. Make any other changes to clients' investments, as necessary.
- Coordinate various administrative projects as required.

Client Administration

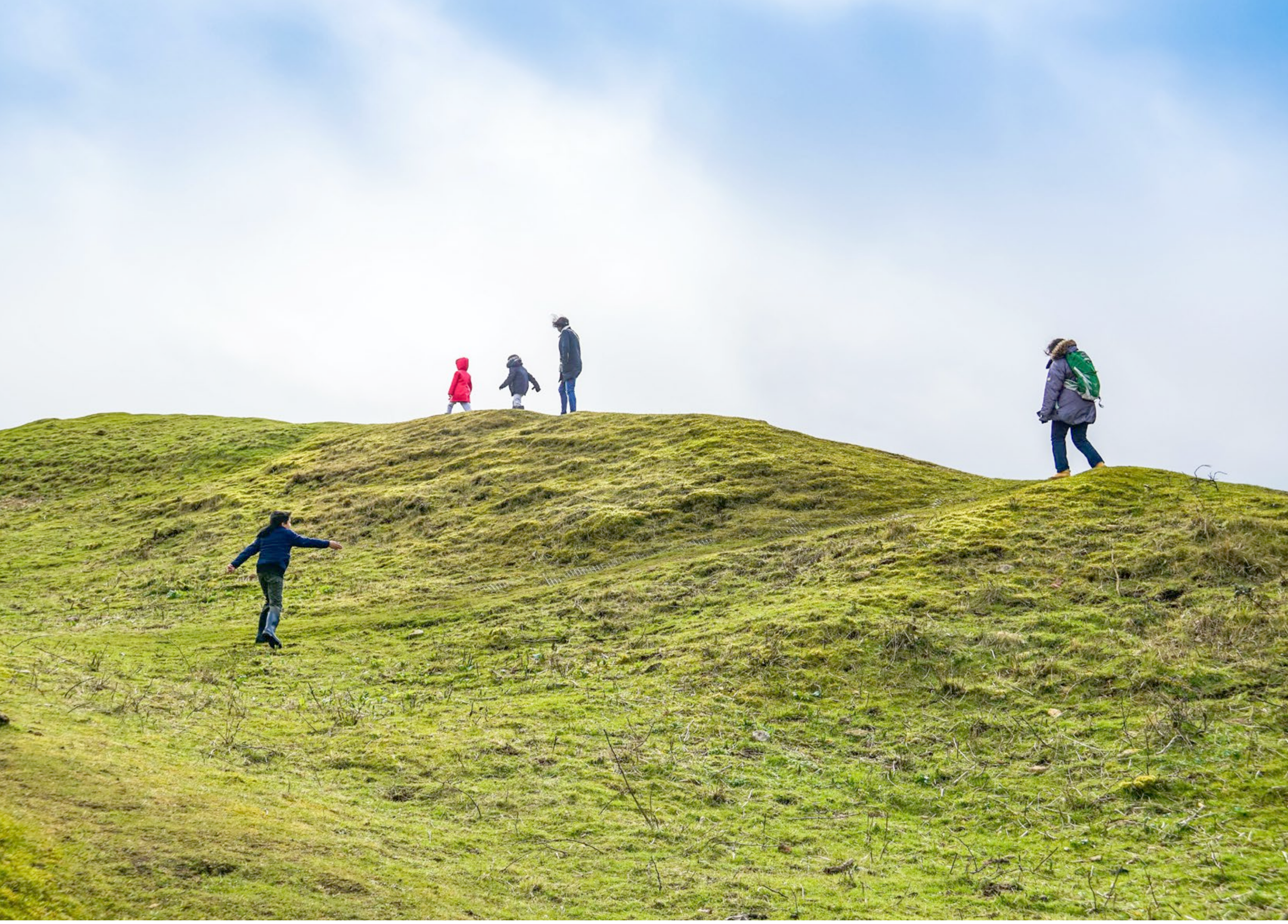
- Deal with all client administration queries in an efficient, accurate and professional manner.
- Liaise with other team members to ensure smooth delivery of client servicing.
- Provide friendly and professional point of contact for clients and enquiries of administrative nature.
- Prepare client documentation and correspondence pre and post meetings as per business processes.
- Create and maintain accurate client records on back-office systems, platforms and any other IT systems e.g. cashflow & risk profiler.
- Record and reconcile fees.
- Ensure action points resulting from client meetings get diarised, actioned and completed as per business process.

Reviews

- Prepare client review documentation as per the Annual Review process.
- Support Financial Planners in delivery of reviews, if needed.
- Assist in implementation of agreed action points.
- Prepare simple Suitability Letters and Reports as supervised by the technical team.

General administration

- Answer, screen and forward incoming calls.
- Ensure back-office systems are kept up-to-date.
- Open, scan, log and allocate incoming post.
- Deal with general correspondence.



Other

- Comply with the Financial Services Acts, the FCA Statements of Principles & Code of Practice, the FCA Conduct Rules and the relevant FCA rules at all times.
- Comply with the relevant compliance, TCF, T&C and financial crime (anti-money laundering, data security, anti-bribery, fraud and corruption) procedures of the company at all times.
- Keep up to date with all relevant product, legislative and technical changes.
- Always follow appropriate ethical standards within the company.
- Ensure CPD requirements are met and maintain up-to-date training records.
- Regularly read industry press and research material to update and increase knowledge and understanding.
- Keep up to date with relevant compliance changes.
- Maintain all standards of performance as required by the company.
- Assist your colleagues with technical enquiries and provide support when needed.
- Other duties as directed by management.

PERSONAL SPECIFICATION

D = Desirable
E = Essential

Job Title: Financial Services Administrator	
CRITERIA	E or D
KNOWLEDGE	
Microsoft Word, Excel, and electronic diary management	E
Advanced Excel	D
Intelliflo Office and platform back-office systems	D
Knowledge of Financial Services products	E
SKILLS	
Highly organised, methodical and disciplined	E
Able to prioritise and plan workload	E
Able to work within defined business processes	E
Able to analyse data effectively	E
Able to communicate effectively in verbal and written form	E
Shows initiative and takes personal responsibility for completing tasks	E
Excellent attention to detail	E
Adopts a positive attitude, willing to assist others when busy	E
Able to work under pressure on occasions to achieve deadlines	E
Able to achieve agreed outcomes without supervision	E

EXPERIENCE	
At least 2 years’ experience working as a financial service administrator	E
At least 1 year working within a financial planning environment	D
QUALIFICATIONS	
Certificate in Financial Planning or equivalent	D
RO1	E
LP2	E

Remuneration Package

(commensurate with skills and experience)

- Competitive salary: £30,000-£35,000
- Professional Development Opportunities
- Group Personal Pension Plan
- Death in service benefit
- Sick Pay Insurance
- 25 days annual leave per year plus 2 extra at Christmas
- Birthday Bonus day

Recruitment Process

Demonstration of Competencies

Candidates will be required to demonstrate during the selection and assessment process that they satisfy the core requirements of the post as set out in the job description and person specification.

Stage 1: CV Screening

Candidates wishing to apply for the IFA Administrator / Junior Paraplanner post should submit their CV as described in the Contact Details section.

Stage 2: Virtual Interview

Candidates that demonstrate they meet the required experience criteria on their CV submission will be invited to participate in the selection and assessment process in the form of a virtual interview.

Stage 3: Face to Face interview and Role Specific Assessments

Following a successful virtual interview, candidates will be invited to participate in a getting to know you face-to-face interview and asked to undertake role specific assessments.

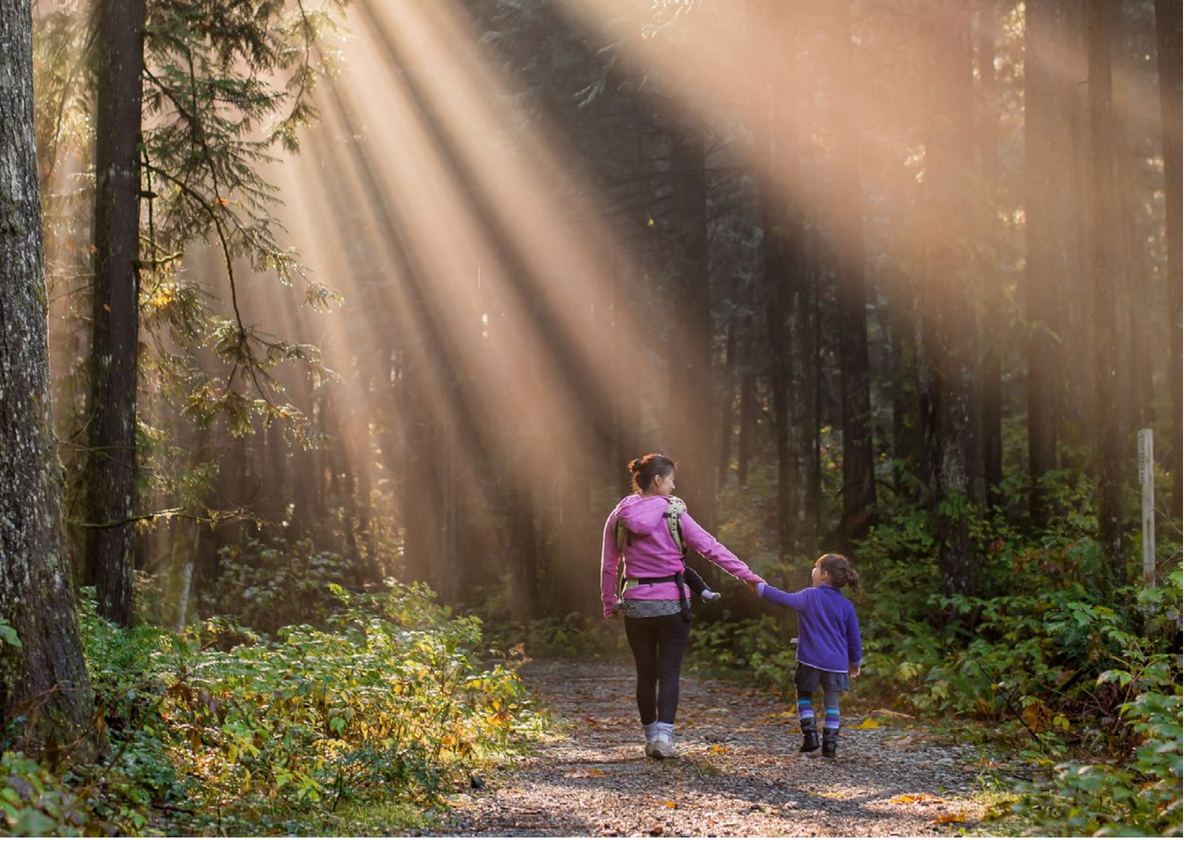
Stage 4: Workplace Behavioural Assessment

Candidates that progress will be invited to take a DiSC workplace behaviour profile.

Stage 5: Meet the Team

The final stage is a much more informal part of the process and a good opportunity for the candidate to see around the office, have a cup of coffee and meet some of the team. Through informal discussion, the candidate will gain further insights into the business, the working environment and will have the chance to elaborate on their aspirations. It will be an invaluable chance to ask any questions that have arisen throughout the process and to get feedback directly from the managing director.

Please note we reserve the right to close the vacancy once we have received sufficient applications.



Contact Details

Please register your interest in applying for this position by sending your CV and a cover note to info@gemfs.co.uk.

www.gemfs.co.uk

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Financial Planners Chartered

CISI Chartered Institute for Securities & Investment Accredited Financial Planning Firm™