



Hargreaves Lansdown, Role Profile and Person Specification

Role Profile

Job Title: T&C Supervisor	Hours of Work: 9am-5pm Mon to Fri
Department: Compliance	Reporting To: Head of HLFA Compliance
Salary range: £30,000 to £40,000 (depending on experience)	

Summary:

The Financial advisers' compliance team is responsible for the risk assessment and controls of our Financial Adviser division. The role will include specific responsibility for carrying out specific risk-based work at the direction of the Head of FA Compliance to ensure that sales made through HLFA meet legal, regulatory and quality requirements

Key Duties & Responsibilities

- Undertake appropriate business reviews
- Risk assessed sampling of pre and post-sale files for all authorised Advisers
- Support Regional Manager to review new business files for advisers in Stage 2 training
- Client meeting assessments
- Contribute to maintenance of suitable Training and Competence records covering authorisation of advisers, CPD and on-going competence across advice areas
- Support collation and analysis of key performance indicators and translation of this into a risk assessment
- Contribute to the drafting of Compliance bulletins from time to time
- Work with advisers and their Regional Manager to provide input and support in relation to file quality and on-going Training and Competence

Person Specification:

	Essential	Desirable
Qualifications	<ul style="list-style-type: none"> • QCF Level 4 qualification 	<ul style="list-style-type: none"> • QCF Level 6 or equivalent.
Knowledge	<ul style="list-style-type: none"> • Good working knowledge of FCA Source book rules on COBS and Training & Competence • Knowledge of wider financial services products and services 	<ul style="list-style-type: none"> • Good working knowledge of word / excel
Experience	<ul style="list-style-type: none"> • Experience in working in a T&C / Compliance environment 	<ul style="list-style-type: none"> • Experience of working in an office environment, • Experience of working in customer services
Competencies	<ul style="list-style-type: none"> • Strong communicator (written and verbal). • Good numerical skills. • Highly organised. • Good attention to detail. • Ability to work to strict deadlines. • Ability to work well in a team. 	<ul style="list-style-type: none"> • Excellent telephone manner. • Ability to accurately and objectively assess and record factual information • Ability to analyse, monitor and evaluate people, processes, systems and controls
Attributes	<ul style="list-style-type: none"> • Ability to work and perform in a high pressurised environment. • Confident. • Hardworking. • Customer service-focused. • Reliable and trustworthy. • Understanding of client confidentiality. 	<ul style="list-style-type: none"> • Patient, diligent and diplomatic. • Pro-active, resourceful and able to use initiative. • Willingness to learn and develop. • Keen interest in Advisory services. • Presentable, professional appearance