

## Job Description

Job Role: **Financial Services Administration Apprentice**

Job Title: **Financial Services Administrator**

Business: **Ascot Wealth Management**

Reports to: **Operations Director**

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 shaped by its clients. We provide a fresh perspective on the Industry and reflect this in the 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 to be opened. We have won multiple Industry recognised awards including Professional Adviser Firm of the Year (South East) in 2019.

For additional information, please visit our website [www.ascotwm.com](http://www.ascotwm.com)

### Key Purpose of the Role

Although this is an apprenticeship, the importance of the role does require candidates to have an interest in the Financial Services sector and experience and knowledge of administration or have the transferable skills to apply to this role. This is an entry level position and will provide an excellent opportunity for the candidate to gain experience of the day-to-day running of a Wealth Management Firm as well as insight into the Financial Services sector. The role will also involve studying for the CII R01 exam.

The chosen candidate will be working closely with the Operations Director, Business & Enterprise Director and Operations & Compliance Manager to assist with operational and client administrative and compliance duties.

Excellent attention to detail, good communication skills and a strong work ethic are essential.

Duties will include:

- Administrative support to senior staff
- Task management and accurate recording of time (using time tracking software)
- Regulatory and compliance tasks
- Competency and training tasks
- Product and procedure related tasks
- Ad hoc research duties and collation of information
- Minute taking and follow up on associated actions
- Maintenance and recording of CPD logs for staff members
- Communicating with selected clients, providers, third parties and colleagues
- Education/investment webinar download and access /recording
- Preparing documentation, presentations and notes
- Content creation for social media and marketing campaigns as appropriate
- Maintenance of office and compliance filing systems
- Ensuring that all compliance and regulatory standards are met and any breaches reported to the Operations and Compliance Manager
- Working with and adhering to company and FCA policies and procedures including maintaining an understanding of FCA regulations and guidelines

### Job Standards For Role

The successful candidate will need:

- Ability to use back office CRM, time and task management systems
- Excellent verbal and written communication skills
- Excellent attention to detail
- Excellent report writing and analytical skills
- Excellent organisation and task prioritisation
- Ability to ensure deadlines are met
- Confident telephone manner
- Able to take direction and complete tasks independently
- Excellent computer skills; experience with email, Word and Excel
- Adaptable and proactive outlook

### 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 AWM or any associated company within a minimum of two years from their own termination of employment with the firm.
5. **Non solicitation of other employees:** The post holder shall not solicit the recruitment of staff from AWM or any associated company within 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 [clare.ballantine@ascotwm.com](mailto:clare.ballantine@ascotwm.com).

**Closing Date:** 7<sup>th</sup> May 2021