

Job Description

Job Role:	Operations and Compliance
Job Title:	Operations and Compliance Manager
Business:	Ascot Wealth Management
Reports to:	Managing 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

Key Purpose of the Role

We are looking for an individual who either holds the Diploma in Regulated Financial Planning, or several years' experience within a Wealth Management firm, to sit in the operations team; focusing on integrating the existing business functions and also to assist in the Compliance Department. Whilst not a client facing role, we would like the individual to have the qualification as we have found that success in an operations and compliance role comes from understanding the personal financial services sector. This new role will be an integral part to the success of the company.

The chosen candidate will be working closely with the current Operations Manager, and the Managing Director to ensure the smooth running of the practice, both from an operational and also a compliance perspective. Ascot Wealth Management is currently supported by back office compliance support and therefore compliance will not be the sole responsibility of the role. Excellent attention to detail, good communication skills and a strong work ethic are essential.

Duties will include:

- Ensuring business processes and policies are adhered throughout the office(s) and for all staff working from home
- Developing and maintaining all procedures and processes.
- Ensuring that all compliance and regulatory standards are met and any breach reported to the internal Compliance Officer.
- Chair internal meetings; inclusive of agenda and minute recording.
- Supporting the Managing Director in key business decisions.

Job Standards For Role

The successful candidate will need:

- To hold the Diploma in Regulated Financial Planning, or several years experience in a Wealth Management firm.
- Ability to use back office CRM, time and task management systems
- Good understanding of compliance requirements
- Excellent organisation and task prioritisation
- Ability to ensure deadlines will be met
- Able to take direction and complete tasks independently
- Excellent computer skills; experience with email, Word and Excel

Benefits of the Role

- Personalised salary structure to reflect experience and contributions
- 22 days holiday, starting
- Development loan for further studies
- Company Pension Scheme

Mandatory Job Standards of the Job Holder

1. **Safety.** To ensure the health and welfare of the job holder (and their 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 GDPR and 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 their team if applicable) is made aware of the need to safeguard sensitive customer information.
3. **Regulation and Competition.** To 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.** Not to 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:** Not to 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.