

Beaufort Securities Ltd		JOB DESCRIPTION	
<b>Job Title:</b>	Investment Adviser		
<b>Department:</b>	Wealth Management	<b>Reporting to:</b>	Head of Wealth Management
<b>Location:</b>	London	<b>Contract type:</b>	Permanent, full time (8.00–17.00)
<b>Job Description &amp; Key Responsibilities</b>	<p>Member of the Wealth Management team confident in the provision of a high quality, personal service to both private and corporate clients.</p> <p>Key responsibilities:</p> <ul style="list-style-type: none"> <li>• Explaining and promoting the services available, establishing new portfolios and nurturing the development of client relationships</li> <li>• Conducting reviews of clients' current portfolios, analysing information and designing financial strategies to support clients' objectives</li> <li>• Producing suitability reports/letters</li> <li>• Providing clients with information relating to both new and existing services</li> <li>• Managing client relationships via regular phone contact, written communications, face to face meetings and reports</li> <li>• Responsible for delivering agreed client service levels and within budget</li> <li>• Negotiating competitive terms with product suppliers and liaising with them in relation to day to day consultancy issues</li> <li>• Maintaining detailed records in accordance with FCA regulations and internal procedures</li> <li>• Peer reviewing colleagues' work, as required</li> <li>• Monitoring time costs and commission receipts</li> <li>• Issuing invoices and supporting client billing procedures</li> <li>• Liaising with internal and external research and strategy departments.</li> </ul> <p><i>The above is intended to describe the general nature and responsibilities of the role and is not intended to be an exhaustive list of all duties or responsibilities of employees in this role.</i></p>		
<b>Key Regulatory Responsibilities</b>	<p>Good understanding of the regulatory responsibilities relating to your controlled function and the general principles of approved persons.</p> <p>Ensuring that all operations are carried out in accordance with the Company's procedures as well as FCA regulations. Demonstrating excellent compliance awareness and understanding of Money Laundering procedures. Strict adherence to the Company's culture of treating customers fairly at all times.</p>		
<b>Accountabilities</b>	Building effective relationships both internally and externally		
<b>Knowledge, Experience &amp; Qualifications</b>	<ul style="list-style-type: none"> <li>• Compliant with Retail Distribution Review requirements</li> <li>• Previous history of being FCA Approved (CF30)</li> <li>• At least one relevant industry qualification (IMC, CFA, Advanced CII) is required as is the desire to achieve Chartered status if not attained already</li> </ul>		

	<ul style="list-style-type: none"> <li>• A proven track record of achievement within the wealth/asset management sectors</li> </ul>
<p><b>Core Competencies &amp; Person Specification</b></p>	<ul style="list-style-type: none"> <li>• Excellent verbal and written communication skills</li> <li>• Proactive and innovative in identifying opportunities for change and new business to meet the clients' needs; open and responsive to new ideas</li> <li>• Reputation for excellent long term effective client service</li> <li>• Must be able to prepare detailed and accurate written work in line with current regulation and legislation</li> <li>• Excellent team player, provides support and assistance to colleagues</li> <li>• Effective leadership skills. Willing to mentor others in their pursuit of professional development</li> <li>• Remains credible at all times, both internally and with clients;</li> <li>• Committed and enthusiastic: has a keen-to-learn and keen-to-do-well attitude for the benefit of the team</li> <li>• Excellent time management and delegation skills: prioritises, organises and plans work effectively and meets deadlines at all times.</li> <li>• Driven, resilient and competitive with an ability to deliver when working to deadlines and targets.</li> <li>• You will be required to visit clients at their location and should therefore be prepared to travel within the UK, including some overnight stays.</li> </ul>
<p><b>Control Function</b></p>	<p>Investment Advisor Function (CF30)</p>