

Job Description – Paraplanner

Job Title	Paraplanner
Reports to:	Head of Paraplanning

Summary of Role

This is a key role within the business, providing support to our Wealth Planners on financial strategies, plans and products to clients.

Reporting to the Head of Paraplanning & Support this is a pivotal role for the team and will involve developing and maintaining internal relationships to help maintain the flow of business in line with company strategy.

The role is based in our office in East Malling, Kent.

Responsibilities:

1. Adherence to Management System & Controls

- Maintain an up to date knowledge of company policies and procedures
- Ensure timely execution of adviser instructions
- Work with colleagues to ensure adherence to company procedures and standards
- Refer all client complaints and concerns promptly to your Manager, the Adviser and the Compliance Officer
- Ensure all client documents and relevant correspondence is saved to client files to ensure advice files are complete
- Maintain records according to the company standard

2. Effective Communication & Support

- Communicate with colleagues, clients and product providers as needed
- Attend regular Paraplanning meetings to discuss ongoing work and ensure advice approach across the team is similar
- Assist the wider team when needed and when there is capacity to do so
- Maintain a log of incoming leads and call clients to perform triage before passing to the relevant Adviser

3. Preparation of Advice

- Produce financial planning reports for consideration and signoff by advisers taking into account standards for suitability and quality
- Analyse client portfolios/products and other relevant information in order to prepare the above
- Obtain illustrations and supporting documents as required to complete the advice file for presentation to the client
- Prepare cash flow analysis as required



- Provide accurate, technical research to ensure that the client file carries all required information to support the recommendations
- Liaise with the Compliance department as necessary throughout the advice process
- Be a point of technical reference for advisers
- Build and maintain various company/ provider panels

4. Reporting

- Maintain the workflow log including the addition of new work requests and updating of completed work
- Ensure that tasks are closed correctly once the work has been carried out

5. Personal Development.

Maintain and record one's own continuous professional development relevant to the role, including a close ongoing understanding of the investment markets relevant to clients; awareness of developments in the investment industry; and a good understanding of relevant regulatory developments.