



**JOB TITLE: ASSOCIATE – COMPLIANCE - WEALTH PLANNING**

**REPORTS TO: CHIEF**

**RISK OFFICER**

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Kingswood Holdings Limited (trading as Kingswood) is an AIM-listed integrated wealth management group, with more than 7,000 active clients and c. £2.5 billion of Assets under Management. It has a growing network of offices across the UK as well as offices in New York and Johannesburg. Clients range from private individuals to some of the UK's largest universities. The Group's vision is to become a leading global provider of trusted wealth planning and investment management solutions to clients, underpinned by investment in people and innovation in technology to support our advisers and clients.

### **SUMMARY OF ROLE**

This is a role which provides compliance support for Training and Competence and quality assurance on the wealth planning side of the business.

### **RESPONSIBILITIES**

- Maintain records of the Financial Planning T&C Scheme
- Assist the VP – Compliance with supervision of Financial Advisers
- Maintaining Key Performance Indicator records for all advisers
- Identifying training and development needs for advisers with the VP-Compliance (Wealth Planning)
- Organising appropriate training –delivered internally with the VP – Compliance (Wealth Planning)
- Assist with the preparation of files for file reviews
- Handling Client Complaints
- Assist Compliance team with reporting (Various Committees e.g. Risk and Compliance Committee and Boards) and dealing with:
  - FCA thematic/queries
  - FCA Reports (KWWP)
  - other projects delegated by VP – Compliance (Wealth Planning) or Head of Compliance Team.

### **SKILLS AND EXPERIENCE**

- Dip PFS (Level4) qualified. CeMap qualified.
- A minimum of 2 years' sales compliance experience
- Wealth Planning and Training and Competence (T&C) experience
- Good Excel, Word and PowerPoint skills

### **Additional desirable experience:**

- XPLAN (CRM system) experience