

Perspective is a national financial planning and wealth management group which operates from 21 offices across the UK employing over 275 staff, including over 80 highly qualified Financial Planners. It provides impartial, specialist advice for individuals, corporates and trustees on pensions, retirement planning, inheritance tax planning, investments and group risk and business protection matters, often working closely with other professional advisers such as accountants and lawyers.

The group differentiates itself by having a strong and ethical client-centric culture, a robust compliance approach and a clear focus on developing its pipeline of trainee Financial Planner talent through its workplace based in-house Training Academy.

CBPE Capital LLP made a major investment in Perspective to support the Group's management team with their continued focus on providing high quality advice to their existing client base, growing organically and making selective acquisitions.

Perspective has gained a reputation as the 'acquirer of choice' for Financial Planners looking to retire and exit the industry and for larger Financial Planning firms looking to join an established and growing industry leading group.

Regulatory Assistant (ref: 178)

Location: Home based, with travel to Chorley as required.

Hours: Monday - Friday 9.00am - 5.00pm (35 hours)

Salary: £27,000 to £28,000

Benefits: 25 days holiday (rising with length of service) plus Bank Holidays, Holiday Purchase Scheme, Life Assurance, Pension and Corporate Eyecare

Role Overview:

You will assist the Compliance Manager, Business Monitoring Manager and Chief Regulatory Officer with ensuring that the Group Regulatory Framework is implemented, runs efficiently, and is executed in a timely manner.

The successful candidate will work with the Business Monitoring Team to ensure that appropriate workflows are maintained. Ensuring that the Knowledge Testing Programmes are rolled out and completed on time, as well as providing compliance information to Offices in a prescribed format.

Responsibilities:

Advice File Review process:

- Select Client Files for review when requested by the Business Monitoring Manager and diarise for receipt to monitor adherence to deadlines.
- Issue Missing Information requests.
- Log File Review outcomes and issue grading communication emails.
- Conduct material change checks.
- Prepare File Review Management Information (Pass Rates, Completeness and Timeliness).
- Update Business Monitoring Manager on a bi-weekly basis of current pre-sale file review status of new advisers with a view to identifying where requirements can be relaxed at the earliest opportunity.

Senior Managers & Certification Regime:

- Issue 'Fit & Proper' assessment notifications to all Senior Managers and Certification staff and monitor satisfactory completion.
- Issue SPS reminders and ensure all Financial Planners always hold a valid SPS.

Perspective's flexible and pragmatic approach means we can create mutually beneficial acquisition deal structures and completion timescales, while priding ourselves on delivering a client-centric, ethical approach focused on long term (often multi-generational) client relationships.

Privacy Policy

Perspective Financial Group Ltd ("us", "we") respects your right to privacy. Our Privacy Policy explains who we are, how we collect, share, and use personal information about you, and how you can exercise your privacy rights. Our Privacy Policy is available on our website <https://www.pfgl.co.uk/privacy-policy/>

Knowledge Testing Programmes:

- Roll out and monitor completion of Financial Planner Knowledge testing completion (issuing reminders where necessary to ensure completion within set timescales) via the CII Financial Assess System as per the internal Knowledge Testing schedule
- Roll out and monitor completion of regular 'all staff' core knowledge tests.

Maintain, update and issue:

- New Permitted Areas of Advice documents when required
- Client Agreements
- Review FCA RMA>Returns.
- Assist and support in other areas of Compliance as required
- Escalate the identification of any concerns identified
- To always act as a positive ambassador for the Group.

Skills required:

- Strong attention to detail and ability to analyse data.
- Highly organised with the ability to work unsupervised to deadlines.
- Excellent record keeping skills
- High standard of written communication skills.
- Competent working with a range of Office 365 applications, particularly Teams, Sharepoint, Excel, Word, and Outlook.

Qualifications/Knowledge/Experience:

- General working knowledge of the UK regulatory framework with an interest in compliance/regulation is essential
- Working towards and/or holds a financial services qualification
- Minimum of 2-3 years financial services industry experience, preferably in a regulatory/compliance or support role

Personal Qualities

- Excellent attention to detail
- Strong organisational skills and multi-tasking abilities are essential

- Able to manage time effectively and work to deadlines
- High standard of written communication skills
- Professional, positive, 'can-do' attitude

How to apply

Please send your CV and cover letter to recruitment@pfgl.co.uk quoting **Regulatory Assistant (ref: 178)**

Any unsolicited CVs will be sent at the recruitment agency's own risk and will be interpreted as 'gifts' and we have no liability to you for any fee or otherwise. We reserve the right to engage with candidates directly having not, in any way, entered into your terms and conditions. By submitting an unsolicited CV to us, or to any member of our staff, you accept these terms as the default position