

<b>JOB SPECIFICATION</b>	<b>Investment Adviser</b>
<b>COMPANY</b>	Wealth management, providing independent financial advice to individuals and families.
<b>LOCATION</b>	Offices in Sutton Coldfield, 80%+ of the adviser role will be office based.
<b>JOB PURPOSE</b>	To assist the Managing Director in giving sound independent financial advice to clients, providing guidance to professional associates, and being a collaborative member of the advice team.
<b>RESPONSIBLE TO</b>	Managing Director
<b>RESPONSIBLE FOR</b>	Mentoring, and working collaboratively with, other financial advisers.
<b>INVESTMENT ADVISER ROLE SUMMARY</b>	
<p>This is a long-term career opportunity for a qualified and experienced Financial Adviser who enjoys the client contact side of things. While you need to be able to close potential client leads that are passed to you, you do not need to generate new business yourself or bring any clients of your own.</p> <p>Client retention is the primary objective of this role and as we encourage the majority of clients to visit us, most of your time will be spent in our Sutton Coldfield office.</p>	
<b>INVESTMENT ADVISER JOB DESCRIPTION</b>	
<b>What you will need to do</b>	
<ol style="list-style-type: none"> <li>1. <b>Review existing client investment portfolios</b>, generally on a six-monthly basis.</li> <li>2. <b>Follow up potential client enquiries</b> and meetings in a timely and appropriate manner.</li> <li>3. <b>Discuss the financial advice service to potential clients</b> or referrers by telephone or face-to-face.</li> <li>4. Taking <b>responsibility for the client journey</b> from initial enquiry through portfolio construction, transfer of funds and on-going review.</li> <li>5. Prepare and <b>update client files</b>, with accurate file notes and documents.</li> <li>6. Contribute to our on-going programme of <b>young adviser mentoring</b>.</li> <li>7. <b>Review the buy-list of funds</b> on a monthly basis.</li> <li>8. Undertake <b>continuing professional development</b> and maintain a training log.</li> <li>9. Participate in the <b>continuous improvement of our processes and systems</b>.</li> <li>10. Continuously seek ways to <b>improve our client service</b>.</li> <li>11. <b>Run seminars and deliver professional presentations</b>, alongside Helen.</li> <li>12. <b>Attend appropriate networking functions</b> to ensure we are 'top of mind' for our existing connections and forge relationships with new connections.</li> </ol>	

## What we will not need you to do

1. **There is no expectation for you to bring any existing clients.** If clients do wish to continue their relationship with you that would be fine so long as they can be aligned with our existing clients in terms of investment amount, fee structure and review process. We do not want any legal wrangles with your existing/previous employer; we haven't the time or the inclination for that!
2. **There is no expectation for you to generate any new business.** If this is something you enjoy doing and would like to continue to do, then that is fine. Again this must be done in line with the current Oaklands methods. Serving and retaining our existing clients and closing the leads that are provided via our established marketing methods are the key aspects of this role and must come first.

## SKILLS, EXPERIENCE & QUALIFICATIONS

### You must have

- An appropriate Level 4 Financial Adviser qualification (e.g. CII or London Institute of Banking & Finance) as a minimum. You must be prepared to study for advanced qualifications to meet any specific requirements of our business, such as pension transfers.
- In-depth working knowledge of pensions and investment solutions, terminology and processes.
- The ability to quickly analyse and interpret complex financial information and client situations in order to arrive at possible financial advice solutions.
- Registration with the Financial Conduct Authority as a Financial Adviser.
- An excellent standard of written and spoken English and be highly numerate.
- A high level of computer literacy to be able to operate all the company's systems software efficiently.
- At least 10 years relevant experience within a financial advice environment – with at least half of this specifically within a firm of independent financial advisers, directly looking after clients and being responsible for their pension and investment portfolios.
- A desire to study and learn new skills and qualifications to enhance your role as an Investment Adviser.

## INVESTMENT ADVISER PERSON SPECIFICATION

### There are some essential characteristics you need to meet, for this role to be a good fit for you

**Sense of Humour:** Things don't always go to plan. And we spend a lot of time at work, so you need to contribute to a cheerful working space. Mood swings don't go down well with anyone here. Laughter does.

**Resilience:** Clients can be demanding and there will be days where you'll be carrying out seemingly endless reviews. Potential clients will challenge how you can best help them. You'll need to have the gumption to keep going and still give an outstanding service to clients.

**Organisational ability:** You'll need both a calm head and sense of urgency to complete tasks and effectively prioritise all live cases, keeping a sensible balance between planned review work and new business.

**Team player:** Yes, you need to have bags of initiative to act alone when you're with clients or professionals and don't have others to consult with. But, just as importantly, you need to help nurture the team spirit whether that's helping to train more inexperienced advisers or working flexibly with the client services team.

**Ability to listen and learn:** None of us know everything or have all the answers. To understand clients and your colleagues you need to listen attentively and be open to different views. You need to want to carry on learning.

**Conversational skills:** Clients need to trust you before they'll do business with you, however technically proficient and experienced you think you are. You'll need to listen to the things that are important in their lives and be able to articulate what's important in yours, so they get a measure of you as a person too.

**Desire to serve:** You'll need to truly want to serve our clients and genuinely get kick out of it. We already have a proven investment process and the critical success factor of this role will be you building a rapport with existing and new clients. Then applying our investment principles in way that helps people feel comfortable that you and Oaklands Wealth Management have their best interests at heart.

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Prepared by

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