

fidelius.



Trainee Business Quality Controller

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Function	Compliance
Reports to	Business Quality Team Leader
Line Reports	None
Purpose of Role	Assist with the management of business issues and complaint investigations to resolution. Producing monthly and quarterly MI to support file checking. Obtaining Mortgage letter and remedial actions data to communicate to teams every month. Adding remedial actions tasks to IO and issuing file check feedback to the FP teams. Managing the BQ inbox to allocate tasks. Ad-hoc projects to support the Business Quality (BQ) Team Leader.

Key responsibilities

1. Internal Customers

- Assist with business complaint investigations and business issues and liaise with employees to resolve these in a timely manner.
- Assist BQ controllers with administrative tasks related to file checking.
- Learn to review advice files in line with the firm's T&C scheme, with supervision.
- Provide constructive feedback and support to advice teams, with guidance.
- Begin to provide technical and regulatory support to advice teams, as skills develop.
- Communicate clearly and professionally with colleagues.
- Develop positive working relationships across teams.

2. Regulatory Developments

- Maintain awareness of the regulatory environment which may have an impact on the business.
- Identify issues which may adversely affect the business, escalate to line management or SMF16 as appropriate.

3. Administration & Reporting

- Ensure complaints and issues data is collated and kept up to date.
- Produce monthly and quarterly MI to support file checking.
- Obtain monthly mortgage recommendation letter data, to communicate this to the Financial Planners (FP), and identify root cause in letters not being issued in good time.
- Produce remedial actions data to communicate to teams every month. Identifying root cause in remedial tasks not being completed.
- Add remedial actions tasks to IO and issuing file check feedback to the FP teams.
- Manage the BQ inbox to allocate tasks.
- Take ownership of tasks and follows them through to completion.
- Show curiosity, ask questions and respond well to feedback.
- Develop confidence in handling data, reporting and administrative processes.

4. Project Work

- Undertake projects to improve systems and processes as required by the BQ Team Leader.

5. Compliance

- Comply with compliance procedures, including TCF, Data Protection and FCA Regulations at all times.
- The role holder requires an understanding of and adherence to the FCA's Consumer Duty, ensuring

that all actions and decisions support good client outcomes and reflect our commitment to delivering fair value and clear, suitable advice.

Knowledge, Skills and Competencies

Role requirements

- Full time position
- Occasional travel may be required between the Fidelius offices.

Experience requirements

- Time spent in a similar position, or Paraplanning, within the Financial Services Industry
- Able to complete level 4 industry qualification e.g., DipPFS or equivalent within 12-18 months.
- Proficient in Microsoft products including Word, Excel, Outlook and PowerPoint
- Experience of delivering accurate and relevant information in timely manner
- Good working knowledge of FCA Principles and Conduct of Business Rules.
- Good understanding of the Financial Planning process.
- Strong written and oral communication.
- Excellent accuracy and attention to detail.

Our Ways of Working

Accountable

- Takes ownership and accountability for their actions and tasks.
- Steps outside of comfort zone to learn and develop.
- Organised and efficient, manages their own time effectively and prioritises to maximise productivity.
- Keeps promises and delivers what they say they will.

Collaborative

- Is inclusive, respectful and supportive of others.
- Listens and takes on-board the views of others.
- Communicates in a timely and effective manner for the best outcomes.
- Shares knowledge and experiences to improve results.

Inquisitive

- Seeks opportunities to create efficiency and improve ways of working.
- Appropriately challenges ways of working.
- Willing to understand different ways of working in different teams.
- Confidently and constructively questions processes.

Transparent

- Honest and trustworthy, treating everyone with respect.
- Straightforward with communication.
- Clear and concise with others at all times.

Aware

- Is aware of the impact of their own actions, styles and behaviours on others.
- Gives support, praise and feedback to others in a constructive manner and receives feedback or challenge graciously and with an open mind.
- Reflects on feedback received to develop themselves.

Adaptable

- Embraces and positively endorses change, finding ways to support the situation.
- Demonstrates flexibility where priorities or deliverables need to change and takes responsibility for continuous review.
- Adopts a flexible approach to projects, tasks and others.

Determined

- Has a can-do attitude.
- Takes responsibility for their own development.
- Copes effectively under pressure.
- Delivers on promises, expectations, roles and responsibilities



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