
JOB DESCRIPTION

Job Title:	Trainee Stockbroker
Department:	Dealing
Position reports to:	Head of Office
Position is responsible for:	N/A
Location:	London
Regulated Job Role	Certificated Role

ROLE PURPOSE

To support the Stockbroking and wider office team whilst shadowing and learning under our training and competency scheme and then provide day to day dealing for clients and branches.

RESPONSIBILITIES

1. Utilise shadowing and learning opportunities to better understand the role of a Stockbroker.
2. Answer and respond to client and prospective client enquires by telephone, email, secure message or post
3. Provide information for clients on listed companies.
4. Work towards being able to carry out day to day dealing in all UK Equity, Overseas, Unit Trust Deals.
5. Participate in our training & competency scheme to meet the firm's requirements under the Certification Regime
6. Report and remain aware of any risks which may be detrimental to clients or to the firm's reputation, which arise from inadequate procedures, systems or data handling.
7. Maintain a 'TCF' culture (Treating Customers Fairly) in respect of all the six outcomes.
8. Ensure compliance with FCA requirements, the firm's Branch Manual, Code of Conduct policies and T&C framework.
9. To adhere to the Statement of Principles for Approved Persons

QUALIFICATIONS & EXPERIENCE

- Good knowledge and interest in Financial Markets
- Confident user of Microsoft Office Applications
- Good interpersonal skills, both written and oral to provide an excellent service to internal and external stakeholders.
- Hold or be willing to work towards either CISI Level 3 Certificate in Securities or CISI Level 4 Investment Advice Diploma
- Ability to adapt to using technology and software packages.

KEY RELATIONSHIPS

- Head of Office
- Stockbroking Team
- Wider office colleagues

ACCOUNTABILITY

All individuals, regardless of their position, have a duty to support and promote the values and ethical principles of the Firm. Regardless of whether the role is or is not regulated by the FCA, individuals must adhere to the FCAs Conduct Rules, and there is a standard of conduct and behaviour that is required by the Firm. It is of the utmost importance that individuals seek to always uphold and promote the reputation of the Firm and should work collaboratively to deliver the best outcome. Further information is held within the Code of Conduct - Ethics Policy.

While the responsibilities in this job description are representative of the main tasks, they are not exhaustive. Therefore, role holders may be asked to perform tasks deemed reasonable to meet the business objectives resulting in amendments to the job description.

EMPLOYEE SIGNATURE

I acknowledge that I have read and understand the above job description in its entirety and accept that this is an accurate reflection of my role.

Signed

Date

