

File Checker

About Us

Beacon Wealth Management is looking for a File Checker to join our well-established Chartered Financial Planning firm.

Based in Kimbolton, Cambridgeshire, and reporting to the HR & Compliance Manager, we are seeking a candidate with a strong understanding of compliance requirements and regulatory standards to support our team.

Role Overview

You will have a strong understanding of financial products and services, in-depth knowledge of the UK financial market, and a solid grasp of FCA regulatory requirements. You will work closely with our financial advisers, paraplanners and administrators, ensuring documentation meets industry standards, and assisting with compliance processes to uphold regulatory requirements. Attention to detail is essential.

What you will be doing

- Conduct compliance checks on client files to ensure regulatory and internal policy adherence
- Review and ensure the accuracy and consistency of documentation
- Provide paraplanning support, assisting with research, suitability reports, and financial planning documentation
- Work closely with advisers and compliance teams to maintain high-quality client records
- Keep up with regulatory requirements and changes from the FCA
- Perform paraplanning duties to cover holiday periods of colleagues

About you

- Level 4 Diploma in Financial Planning (or equivalent)
- Experience in compliance, file checking, or paraplanning
- Strong knowledge of FCA regulations and industry best practices
- Attention to detail and excellent analytical skills

As a member of non-advising/qualified staff, whilst all help and assistance should be given to both clients and prospective clients over administrative issues, under no circumstances should advice be given that might be construed to be financial advice.

What we offer

- Competitive Salary
- Generous Employee Benefits Plan
- Pension contributions matched up to 5%
- 35-hour week with a 4pm finish on Fridays
- 20 days holiday (increasing 1 day per year up to a maximum of 23) plus Bank Holidays, 3 days at Christmas, and your Birthday off
- Flexible and Hybrid working available
- Regular team-building activities

How to apply

Please send your CV to Pippa Ellis at pellis@beaconwealth.co.uk