

Job Description

Job Title:	Business Quality Manager
Department/Office:	
Reporting to:	
Responsible for:	n/a
Brief description of role:	Lead the Business Quality Unit to ensure Hawksmoor meets regulatory requirements in relation to standards of investment advice, portfolio management, and record keeping. Create and maintain the file monitoring framework, conduct root cause analysis, review data, and provide MI to support good client outcomes.

Under the Senior Managers and Certification Regime this role is defined as being Conduct Staff. As such you are obliged to adhere to the First Tier of the FCA's conduct rules. Should disciplinary action result from a failure to comply with these rules, then Hawksmoor will be obligated to inform the FCA of any breach.

Main Tasks

- Oversee, develop and maintain the investment management file monitoring framework and associated procedures.
- Conduct root cause analysis on identified issues and trends.
- Review and analyse data from file monitoring to identify patterns and areas for improvement.
- Produce and present Management Information (MI) reports to the Chief Operating Officer and Business Manager, including First Time Pass rates and common errors.
- Oversee the file monitoring process and ensure consistency in application of standards.
- Communicate review outcomes clearly and effectively in line with BQU standard procedures.
- Ensure reviews are followed up and any remedial actions are completed in a timely manner.
- Report any identified breaches in line with company breach policy.
- Collaborate with HR to identify common trends in knowledge or skills gaps and develop support strategies for investment managers.
- Review and assess the suitability of investment portfolios, ensuring they align with clients' risk profiles and investment objectives.
- Monitor adherence to investment mandates and restrictions.
- Assess compliance with regulations such as MiFID II, Consumer Duty rules as they apply to investment management.
- Support the Certification process for Certified members of staff.
- Review marketing materials and client communications for compliance with financial promotion rules.
- Undertake file checking as required to maintain skills and support the team, including:
 - Pre-Approval: Review investment proposals, client risk profiles, and mandatory documents for completeness and suitability.
 - Post-implementation: Review entire file to assess whether suitable and appropriate investment decisions are evidenced and that a compliant investment process has been followed.

- Complete all tasks with an understanding of their impact on client outcomes and the company's ability to meet its Consumer Duty obligations. Stay up-to-date on Consumer Duty training and highlight any concerns regarding client outcomes or potential consumer harm.
- Demonstrate a commitment to promoting and supporting diversity and inclusion in the financial sector, in line with the FCA's regulatory framework and objectives.

Qualifications	<ul style="list-style-type: none"> - Degree in Finance, Business, or related field - Professional qualification such as CFA, CISI, or equivalent
Skills and competencies	<ul style="list-style-type: none"> - Significant experience in financial services, preferably in product governance or compliance roles - In-depth knowledge of UK financial regulations, particularly Consumer Duty - Strong understanding of investment products, portfolio construction and risk management - Excellent analytical and problem-solving skills - Proficiency in risk assessment and management - Strong project management skills - Excellent communication skills, both written and verbal - Meticulous attention to detail

Additional activities

The job holder will be required to perform any additional activities that are relevant to the role, as agreed with management.