



**COLLINS SARRI STATHAM**  
INVESTMENTS

## **Stock Broker**

### **Permanent / Full time**

**Package:** £20k - £24k depending upon experience + bonuses

**The Role:** Due to continued expansion currently have an opportunity for an ambitious Broker to join the team at our City based, dynamic, private client stockbrokers, regulated by the FCA and who specialise in retail securities.

Ideal candidates will have Stockbroking experience and must be personable, compliant, focused and confident and be prepared to work long hours. An excellent telephone sales manner is essential as is a good understanding of the stock market. Previous experience in trading in equities is also important.

We are looking to recruit qualified stock brokers who are RDR (Retail Distribution Review) compliant, as you will be working in a professional, compliant environment where you will be provided with the opportunity to develop a long term career within the financial sector.

### **Job Specification:**

- Building and maintaining a profitable client base and helping to develop the firms overall standing in the market
- Advising clients on straight equity recommendations, as well as other products
- Ensuring that all operations are carried out in accordance with the firm's own policies and procedures in addition to FCA rules
- Ensure outstanding customer service
- Communicating effectively with other staff in the company
- Key Regulatory Responsibilities
- Ensuring individual professional development is exceptional and be willing to take further exams/courses to broaden their knowledge to include all of the company's proposed product lines

### **Person Specification:**

- Understanding of the regulatory responsibilities within your control function and the principles of approved persons
- CF30 qualified
- Approachable with a proven record of good customer service and excellent communication skills
- An active & portable client base is desirable
- In depth market knowledge

- A good understanding, knowledge and experience of FCA regulation within the retail broking field

**Qualifications:**

- FCA Registered
- Securities Institute or FCA professional qualifications
- Level 4 Investment Diploma or equivalent