

**VACANCY**

<b>Job Title:</b> Investor Services Associate	<b>Reports to:</b> Investor Services Team Manager or Connect Team Manager
<b>Department:</b> Operations	<b>Location:</b> Guildford
<b>Senior Manager / Certification Regime:</b> Conduct Rules	

**We are looking for an Investor Services Associate to join our Investor Services / Operations team.**

If you are interested in applying for this role, please send your CV (together with details of current salary) to Niamh Dempsey, HR Director [niamh.dempsey@premiermiton.com](mailto:niamh.dempsey@premiermiton.com)

Premier Miton focuses on two principal areas of investment expertise: outcome-based, multi-asset investment, and single-strategy, active equity investment, for example UK, European, US and global equity funds. The diversity, strength and depth of our product range allows us to offer portfolio solutions for a wide range of client needs.

Our business is centred on managing our clients' money. We aim to meet their needs by offering strong investment products and delivering sustainable long-term outcomes, underpinned by responsive client service and transparent, proactive communication.

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**Job Purpose / Job Objective**

- Process and administer Premier Fund Managers (PFM) business timely and accurately.
- Support the management of Premier Portfolio Management (PPM) business.
- Monitor, oversee and process discretionary and funds business on relevant platforms (internal or external).
- Act as a point of escalation between Premier Fund Managers and Premier Portfolio Managers.
- Support and proactively manage PFM and PPM projects as they relate to Investor Services.
- Be proactive in managing the launch and ongoing administration of the distribution portal (Connect).
- Service clients and advisers timely and accurately, and in line with the propositions.
- Support any testing or project requirements relating to operational or regulatory changes.

## Principal Responsibilities / Deliverables

Responsibility	Associated Tasks / Deliverables
<b>Processing and administering business for PFM (including SEI, FNZ or any other 3<sup>rd</sup> party) or PPM (where required) timely and accurately</b>	<ul style="list-style-type: none"> <li>• Processing the day-to-day administrative activities, such as new business and servicing clients, managing TPA/TA/Counterparty activities to move business to and from Premier timely and accurately</li> <li>• Perform all key administration duties (including opening post, allocating work, managing queries) timely and accurately</li> <li>• Monitoring receipt of stock and cash and the associated reconciliations; and the ongoing review of negative or positive stock or cash balances to make sure they are in line with expectations, of both the client and Premier, and resolving timely</li> <li>• Monitoring your own work queues, re-allocating and escalating, to make sure the SLAs are met</li> <li>• Owning the timely answering of customer and adviser queries (by post, phone or email) (including setting up Online Valuation Service) and monitoring of outstanding queries to a satisfactory completion</li> <li>• Maintaining accurate client and adviser records; and updating timely upon receipt of instructions to do so</li> <li>• Preparation and dispatch of welcome letters and other correspondence timely and accurately, in line with SLAs</li> <li>• Identifying, managing and recording any failures in controls or risks, through recording key actions on Sonar.</li> <li>• Understand the rules and regulations that govern our processes, demonstrate an understanding of the regulatory impact if something goes wrong (measured through the accurate updating of Sonar)</li> <li>• Processing client money transactions as required, including legacy monies, in accordance with CASS rules; and other relevant regulations</li> <li>• To support any other general activities that may be required from time to time.</li> </ul>
<b>Discretionary Business (internal and external)</b>	<ul style="list-style-type: none"> <li>• Processing and monitoring of discretionary business on external platforms</li> <li>• Managing discretionary business for PFM accurately, timely and in line with the rules and policies in place</li> <li>• Maintaining a good understanding and relationship with the Fund Managers, by informing them of any significant changes or events timely</li> </ul>
<b>Project Ocean (the delivery of Connect phases/sprints)</b>	<ul style="list-style-type: none"> <li>• To support the Investor Services Leadership Team to deliver against the Programme Delivery Plan, where it is within PFM's control</li> <li>• To support any project requirements for migrations, transitions or administration changes from one provider to another, as per the plan</li> <li>• To assist with testing of new functionality; ensuring that all required procedures have been written and monitored</li> <li>• To maintain suitable knowledge of the plan, the status and what you can do to support the delivery, through being proactive in learning and assessing the position throughout the delivery.</li> </ul>
<b>Quality</b>	<ul style="list-style-type: none"> <li>• Meet the quality targets consistently, which means individually taking responsibility for achieving the quality rate, and escalating where we fall short</li> <li>• Measuring Quality against the items of work processed, as they relate to Sonar items raised, strive for 100%</li> </ul>
<b>Service</b>	<ul style="list-style-type: none"> <li>• Strive to maintain 'Clear to zero' daily</li> <li>• Efficient, prompt working practices – sense of urgency</li> <li>• Sense of ownership and care in everything we do</li> <li>• Clearly defined service levels will support us to prioritise</li> <li>• Measuring Service against the items closed on Workflow, strive for 100%</li> </ul>
<b>Monitoring, reporting and reflecting</b>	<ul style="list-style-type: none"> <li>• Identify the key risks and create your own sense of monitoring to support the early identification of failures; and the introduction of process improvements</li> <li>• Deliver against items assigned to you as part of the internal and external reporting for PFM</li> </ul>

<b>Responsibility</b>	<b>Associated Tasks / Deliverables</b>
<b>Risk and Control Management</b>	<ul style="list-style-type: none"> <li>Understand the risks associated with the task you are undertaking</li> <li>Identify when the process carries, a risk, is there an appropriate control in place, if not, change it</li> <li>Resolve any failures timely, escalate where required (e.g. DPA or CASS)</li> <li>Take Action, understand what went wrong, identify ways of ensuring it will not go wrong again</li> <li>Report risk/control failures and errors timely and in line with the Operational Policies</li> <li>Understand the regulatory regime in which we work, identify risks to meeting these obligations and where there is a risk to either clients or markets in what we do</li> <li>Actively update and manage the Sonar entries as they relate to PFM.</li> </ul>
<b>Projects</b>	<ul style="list-style-type: none"> <li>To support investor services projects and new products, as required</li> <li>At least annually, take responsibility for a number of Processes, Procedures and Checklists to review and make sure they are accurate and current.</li> </ul>
<b>Self-learn and Develop</b>	<ul style="list-style-type: none"> <li>Maintaining a training log, to demonstrate areas where you are less confident in</li> <li>Improve your knowledge of the business through, for example, liaising with internal departments, other institutions, our clients and their financial advisors, external industry bodies</li> <li>Support Investor Services Leadership Team in their roles, as required</li> <li>Maintain knowledge and competence with legislation and ongoing regulatory changes, through self-research, asking for support on a new initiative etc</li> </ul>
<b>Accountability</b>	<ul style="list-style-type: none"> <li>Be accountable for your own actions</li> <li>Be proactive in identifying solutions to problems or queries</li> <li>Challenge the status quo and develop solutions to improve costs, service, quality, 'you'</li> <li>Be Professional at all times, be the best version of you</li> <li>Be aware of how your actions, impacts the team, your Manager, the wider Operations department and our customers.</li> </ul>
<b>Individual Conduct</b>	<p>Whilst carrying out all the previous responsibilities, you should:</p> <ul style="list-style-type: none"> <li>Act with integrity.</li> <li>Act with due care, skill and diligence.</li> <li>Be open and co-operative with the FCA.</li> <li>Pay due regard to the interests of customers and treat them fairly.</li> <li>Observe proper standards of market conduct.</li> </ul>

<b>Education, Experience, Skills and Abilities, etc.</b>	<b>Essential / Desirable</b>
<b>Education / Qualifications</b> <ul style="list-style-type: none"> <li>Educated to GCSE level or equivalent</li> </ul>	<b>E</b>
<b>Experience / Knowledge</b> <ul style="list-style-type: none"> <li>Experience of working in Investor / Client Services in the finance industry, preferably in Fund Management, Wealth Management or other similar customer / adviser facing role</li> </ul>	<b>D</b>
<b>Skills</b> <ul style="list-style-type: none"> <li>Team player with a positive, results orientated approach;</li> <li>Communication skills with the ability to communicate effective – both written and verbally at all levels;</li> <li>Strong Interpersonal skills;</li> <li>Ability to prioritise workload and adhere to deadlines;</li> <li>Good Problem Solving skills.</li> <li>Ability to demonstrate tact and diplomacy when coping with difficult situations;</li> <li>Good administrative and personal organisational skills;</li> <li>Good numeracy skills.</li> <li>Good IT skills / ability to use Microsoft Office and Excel.</li> </ul>	<b>E</b> <b>E</b> <b>E</b> <b>E</b> <b>E</b> <b>E</b> <b>E</b> <b>E</b>
<b>Characteristics</b> <ul style="list-style-type: none"> <li>Ability to work under considerable pressure and adhere to strict timescales</li> <li>Attention to detail.</li> </ul>	<b>E</b> <b>E</b>

<b>Other Information</b>
<ul style="list-style-type: none"> <li>Some travel required to attend relevant meetings, generally in the UK</li> </ul>