

Investor Services Team Lead

We are looking for an Investor Services Team Lead to join our Operations team based at our London or Guildford office to cover Maternity Leave. The role involves hybrid working at least two days office based.

The successful candidate will maintain the oversight and governance required to manage the Investor Services team including procedures, training, breach and incident monitoring control reports etc. They will work as part of the Investor Services management to promote and monitor the processes required to deliver quality and timeliness of work carried out by the Investor Services team; promote a positive client and FA experience; assist in the development and implementation of efficiencies, new processes and technical solutions across the department. The successful candidate will also manage the overall relationships between internal stakeholders, such as Distribution, Marketing and external parties including our Distribution and Platform partners as it relates to Operational or Product queries. They will work to support the management of third-party relationships for PFM, mainly, but to make sure that there are consistencies across PFM and PPM where possible. The successful candidate will manage change across the Investor Services team and support the wider change initiatives in Premier Miton, as well as manage and lead the team in their training and development to meet the overall Investor Services Goals

If you are interested in the role, please send your CV (together with details of current salary) to:

Emma Burgess, HR Associate
HR@premiermiton.com



Premier Miton's purpose and values

To actively and responsibly manage our clients' investments for a better financial future

Dedicated

Passionate

Responsible

Independent

Collegiate

Principal Responsibilities / Deliverables

Responsibility	Associated Tasks / Deliverables
Oversee the Investor Services team to ensure timely and accurate processing of day to day and adhoc process:	<ul style="list-style-type: none"> • To support and monitor the accurate processing of new discretionary and fund business • Obtaining appropriate documentation (AML and otherwise) as required • Correct payment of income and withdrawals • Managing customers expectations through the consumer duty and TCF initiatives, supporting a good customer experience • Ensuring compliance with relevant CASS and other regulations across Investor Services processes and activities • Managing payment out calculations and processing for both clients and their advisers, including the oversight of the maintenance of associated standing data • Monitoring and supporting the calculation and payment of Rebates / Discounts timely and accurately • Providing the over-arching support for checking investor services work, and building the support structure that a reduction in checking can be used when appropriate • Ensuring transactions are appropriately authorised where required • Ensure applications are complete and ISA applications comply with and are processed in accordance with HMRC rules • Supporting the team to make sure the timely response to customer, FA, internal and other external stakeholders timely and accurately (by telephone, post and e-mail) • Maintaining a good overall risk and control mindset for managing the risks within Investor Services • Managing the production and dissemination of regular reporting, both internally and externally. • Monitoring that all instructions are accurate and properly authorised and completed by them in accordance with agreed timescales
Team Oversight	<ul style="list-style-type: none"> • Responsibility and management of Investor Services Associates • Assist in overseeing, monitoring and training staff including ensuring appropriate cover at all times, promoting job rotation and appropriate IOC exams • Ensure allocation of daily work (Workplan) to staff and maintenance of appropriate logs, in-boxes and distribution of post and work • Moving accounts to pre-close, authorising income payments, pay tos and any other appropriate authorisations, uploading GRMs, daily check rec, performing Legacy Client Money Rec and maintenance of log
Quality	<ul style="list-style-type: none"> • Meet the quality targets consistently, which means individually taking responsibility for achieving the quality rate, and providing support to the team for fair allocation of work, that achieves the quality targets • Updating the quality spreadsheet fairly, accurately and timely • Measuring Quality against the items of work processed, as they relate to Sonar items raised, strive for 100%
Service	<ul style="list-style-type: none"> • Strive to maintain 'Clear to zero' daily through supporting the team prioritise workloads, and identifying where we may fall short • Efficient, prompt working practices - sense of urgency

	<ul style="list-style-type: none"> • Sense of ownership and care in everything we do • Clearly defined service levels managed and amended where appropriate • Managing the checking to support the team meet their SLAs and quality, through prioritising key activities e.g. money out, investments • Measuring Service against the items closed on Workflow, strive for 100%
Monitoring, reporting and reflecting	<ul style="list-style-type: none"> • Produce monthly management information to support a better understanding of quality and service both internally and externally • Work with the wider team to create a robust oversight framework and monitor accordingly • Reflect regularly on processes and how they can be improved or risks reduced • Identification and execution of a 1st line Monitoring Plan which will meet our quality and regulatory obligations
Risk and Control Management	<ul style="list-style-type: none"> • Understand the risks associated with the department and what our keys risks are • Identify when the process carries, a risk, is there an appropriate control in place, if not, change it; or encourage the process owner to review it • Resolve any failures timely, escalate where required (e.g. DPA or CASS) • Take Action, understand what went wrong, identify ways of ensuring it will not go wrong again • Report risk/control failures and errors timely and in line with the Operational Policies • 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 • Actively update and manage the Sonar entries as they relate to PFM.
Projects	<ul style="list-style-type: none"> • Provide advice, support and guidance to Investor Services in relation to operational or regulatory projects • Provide a quality oversight to changes to processes requested by internal stakeholders e.g. Complaints, sales, marketing, compliance, finance and investments • Assisting in development and testing processes in new practices and technology solutions
Self-learn and Develop	<ul style="list-style-type: none"> • Maintaining a training log, to demonstrate areas where you are less confident in • Improve your knowledge of the business through, for example, liaising with internal departments, other institutions, our clients and their financial advisors, external industry bodies • Support Investor Services Leadership Team in their roles, as required • Maintain knowledge and competence with legislation and ongoing regulatory changes, through self-research, asking for support on a new initiative etc
Accountability	<ul style="list-style-type: none"> • Be accountable for your own actions; and those of the team you manage • Be proactive in identifying solutions to problems or queries • Challenge the status quo and develop solutions to improve costs, service, quality, 'you' • Be Professional at all times, be the best version of you • Be aware of how your actions, impacts the team, your Manager, the wider Operations department and our customers.

Other	<ul style="list-style-type: none"> • Prepare and submit HMRC and other regulatory returns as appropriate • Manage and maintain any off platform historical records as required • Produce monthly management information in accordance with agreed requirements • Ensure risk and errors are reported in accordance with company procedures • Support Chief Operating Officer and Head of Connect as required • Ensure compliance with FCA rules, other relevant rules and the principles of treating customers fairly
Individual Conduct	<p>Whilst carrying out all the previous responsibilities, you should:</p> <ul style="list-style-type: none"> • Act with integrity. • Act with due care, skill and diligence. • Be open and co-operative with the FCA. • Pay due regard to the interests of customers and treat them fairly. • Observe proper standards of market conduct

Education, Experience, Skills and Abilities

	Essential / Desirable
<ul style="list-style-type: none"> • Education / Qualification • Educated to GCSE level or equivalent • Relevant qualification in Compliance 	E E
<ul style="list-style-type: none"> • Experience / Knowledge • Experience of working in Compliance and Money Laundering in the Finance industry, preferably in Fund Management. 	D
<ul style="list-style-type: none"> • Skills • Team player with a positive, results orientated approach; • Communication skills with the ability to communicate effectively – both written and verbally at all levels; • Strong Interpersonal skills; • Ability to prioritise workload and adhere to deadlines; • Demonstrable Problem Solving skills. • Ability to demonstrate tact and diplomacy when coping with difficult situations; • Good administrative and personal organisational skills; • Good numeracy skills. • Good IT skills / ability to use Microsoft Office and Excel. 	E E E E E E E E E
<ul style="list-style-type: none"> • Characteristics • Ability to work under considerable pressure and adhere to strict timescales. • Attention to Detail 	E E

Other Information

Some travel required to attend relevant meetings, generally in the UK

