

Senior Associate, Client Administration

Business Unit	Financial Services	Department	Client Administration
Reporting Line	Team Leader, CA/FP or IM Practitioner	Location	Various

Role Overview

Job purpose

To provide full administrative support to Financial Planners or Investment Managers, ensuring client satisfaction through direct contact with clients, and other operational colleagues, while adhering to regulatory standards. To be a role model and mentor to team members, a go-to person within the team.

Key Responsibilities

- To work closely with the aligned Financial Planners and/or Investment Managers to deliver excellent client outcomes
- To build relationships with clients and maintain regular contact
- Maintain back-office systems and client records in line with the company policies
- Request policy information from third party policy providers if applicable
- Liaise with operational teams where support is provided on activities e.g., scripts, transfers, corporate actions, static data changes where applicable
- Assist investment managers in the preparation of new business pitches and presentations (IM admin only)
- Deal with cash transfers, foreign exchange transactions and monitoring of account balances for clients (IM admin only)
- Process all business in accordance with required processes & proactive pipeline management to include establishing new accounts on internal systems and collating AML documentation as required
- Identify and report any risks, breaches, or errors through ensuring risks are logged through to mitigating actions and controls
- To encourage client, use of portal and other digital tools, provide guidance where required.
- To collaborate and share best practice with colleagues
- Provide training and coaching to new and existing administrators as required
- Provide guidance on a day-to-day basis and be the 'go to person' to answer any process or technical issue

Key Skills and Experience

- Proven experience working in the financial services industry—minimum 5 years 'experience
- A strong ethic of client service
- Ability to work under pressure and to prioritise work
- Excellent communication skills both written and verbal, influencing and organisational skills
- Ability to use judgement and reasoning to propose solutions to problems
- Ability to coach and mentor team members

Professional Qualifications and Education

- Excellent standard of education, ideally degree qualified but not essential
- Interested in further development through additional qualifications

Key Competencies - MIFID

- Demonstrate an understanding of the regulatory Information Givers regime (including ESMA requirements)
- Describe the difference between providing advice and giving information
- Demonstrate an understanding of our Products and Services

Our Values and Behaviours

Personal

- ★ We take time to listen to & understand people's individual needs
- ★ We treat everyone fairly & with respect
- ★ We are honest & genuine

Performance

- ★ We are ambitious for our clients and act with their interests in mind
- ★ We keep our promises & deliver excellence at pace
- ★ We lead the way and embrace new ways of working

Partnership

- ★ We build lasting, mutually beneficial relationships
- ★ We value everyone's contribution
- ★ We partner across the full breadth of our expertise to create shared value

Consumer Duty

Understand and maintain awareness of your responsibility in relation to the Consumer Duty rules and expectations. Take personal ownership for your actions and be an advocate of Consumer Duty to ensure we deliver good outcomes to our customers, in particular, in relation to the expected Consumer Duty outcomes:

- **Products and Services** – Products and services are fit for purpose
- **Price and Value** – Price the customer pays for a product or service is reasonable compared to the overall benefits
- **Consumer Understanding** – Customers are given the information they need, at the right time, and presented in a way they can understand
- **Consumer Support** – Enable our customers to realise the benefits of the products or service they buy, pursue their financial objectives, and act in their own interests