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| **Investment Accounts Executive**  **Job Description** | |
| **Reporting to** | Investments Team Leader - Responsible for training and supervision |
| **Direct Reports** | None |
| **Office Location** | Boolers (Pensions and Investments) 9 Grove Court, Grove Park, Enderby, Leicester, LE19 1SA. |

**Our Business**

Having welcomed clients since 1983, the business has grown organically over the years by putting clients at the core of our proposition. By providing excellent service and outcomes for clients we have achieved significant growth and have assets under influence in excess of £1bn.

We strive to recruit, develop, and retain individuals who share our vision and values and who want to make a valuable contribution to the continued success of our business. We encourage staff progression which could ultimately include the future opportunity of taking part in equity ownership in the business subject to business need and individual assessment. A key part of the business’s succession planning has been developing ambitious employees who wish to take part in the most fundamental of ways i.e., partnership.

Our office is based in Enderby, Leicestershire and we service high net worth clients across the UK. We look to build long term client relationships based on trust, professionalism, and support which is echoed in our staff approach. We have been delighted to receive for the second time a “Best Financial Advisor to Work for” award by Professional Advisor, following their review of our company policies and anonymous staff feedback.

We are committed to the highest standards of knowledge and skill as demonstrated by our Chartered Status. Our employees are consistently encouraged and supported to challenge themselves and to develop their qualifications.

Our business has grown on a foundation of excellent service, high standards of advice and a commitment to treating both staff and clients with the utmost respect.

**Role Overview**

To be the in-house contact for the client, providing a quality administration service in respect of a portfolio of Investment clients (which would include individuals, Self-Invested Pension Schemes (SIPP and SSAS), Companies, Trusts, and Charities). Maintaining records that meet the requirements of the firm and the regulator. Also providing a technical and administrative support to the Investment Manager and Financial Planner.

**Main Tasks**

**Establishment of investment accounts**

* Prepare Client Agreements and Application / Transfer forms in line with the recommendations provided by our Suitability Team.
* Open new accounts by preparing and submitting new business applications, where necessary, on a variety of platforms (Pershing, Quilter and Aviva), in readiness for investments to be placed.
* Liaise with existing investment providers and the receiving platform to process transfers over to our investment services, as per recommendations provided by our Suitability Team.

**Day to Day Portfolio Management**

* Maintain accurate records, processing changes: using software (Intelliflo, Virtual Cabinet, Adobe, Excel) and our platform providers (Pershing, Quilter and Aviva).
* Prepare Valuations and Annual Review Packs for client meetings, including performance analysis of underlying investments, together with recommendations for change advised by the Investment Manager, where appropriate.
* Maintain awareness of the Investment Strategy of the Investment Committee, including the investment products and recommended portfolios.
* Administer investment decisions and recommendations in accordance with the strategy of the Investment Committee by placing investment deals and transactions including buying, selling and switching, in a timely fashion and using the task management within our CRM, Intelliflo.
* Keep up to date with the global investment markets, the different contracts and investment funds available and changes in taxation.
* Communicating with clients (via telephone, email and letter), as well as fellow professionals, e.g., accountants and solicitors.
* Issue Client Meeting Notes and undertake action points.
* Invoice clients in accordance with Client Agreements.
* Produce bespoke documents as and when needed / requested.
* Carry out other routine administration tasks and deal with client queries within field of expertise/range of authorisation.

## Calculations

* Calculate money weighted return of portfolios for client review packs.
* Support the Investment Manager with the assessment of the Capitals Gains Tax position, where applicable
* Perform other sundry calculations.

## Liaison, Communications & Record Keeping

* Provide information to accountants where necessary.
* Provide information to and liaise with investment providers.
* Assist other Account Executives with the preparation of reports both pre and post meetings.
* Provide information to Paraplanners to prepare Suitability Reports.
* Provide information to the pension departments when requested.
* Maintain computer records of all activities undertaken.

**Relationship with other roles**

* Liaise with and support Financial Planners, Paraplanners, Investment Managers and the Pension Departments.
* Work on joint projects or tasks with other members of the Investment Department, Pensions Department or wider business.
* Some initial and ongoing training and supervision will be conducted by the Compliance Manager.

**Pay & Benefits**

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| * Salary £24,000 to £30,000 per annum   (dependant on qualifications, knowledge, and experience)   * Discretionary bonus based on business performance * 2 x salary life assurance * Pension; 5% employer contribution, increasing incrementally in recognition of continuous service. Salary sacrifice scheme available * 24 days’ holiday, increasing incrementally in recognition of continuous service, in addition to bank holidays * Health Cash Plan Scheme * Free parking * Hybrid working scheme - Following completion of initial training and induction up to 40% working from home | A picture containing company name  Description automatically generated |

**Person Specification:**

**Qualifications**

1. **Essential**

* Educated to A level standard (or equivalent) as a minimum
* A minimum of 2 years’ experience in Investment client servicing and administration role

1. **Desirable**

* Degree in relevant speciality
* To hold CII Award/Certificate/Diploma units or equivalent or to be willing to obtain CII Award/certificate/Diploma Units
* Other Financial Services experience, in a similar role

**Knowledge & Skills Required**

1. **Essential**

* Knowledge of the services that the firm provides to clients
* Knowledge of investments and associated products
* Good technical knowledge of investments and their use in Financial Planning
* IT / keyboard skills
* Ability to communicate effectively with clients, providers, accountants and other professional connections via various methods – phone, letter, e-mail, etc
* Ability to create and maintain accurate computer-based records
* Knowledge of Data Protection legislation
* Ability to work within level of authority and to refer work when appropriate

1. **Desirable**

* Good, broad, knowledge of Financial Services in general
* Knowledge of IT systems and programmes relevant to role (Intelliflo, Pershing, Quilter, Aviva, Virtual Cabinet, Adobe, Excel)
* Knowledge of different investment wrappers (General Investment Account, ISA, Investment Bond, Pension)
* Knowledge of different investment contracts (Unit Trusts/OEICs, Exchange Traded Funds)
* Knowledge of different asset types (Equity (UK & Global), Fixed Interest, Property, Commodities)
* Knowledge of money laundering procedures relevant to role and individual responsibilities in this area
* Knowledge of other Financial Services legislation relevant to role

**Disposition**

* Organised
* Able to work to deadlines
* Able to prioritise work
* Desire to be part of a team, although able to work on own initiative.
* Willing to undertake further training and/or study to improve & maintain technical knowledge