

## Company Overview

Premier Miton is a genuinely active investment manager offering a range of funds and investment trusts, as well as a portfolio management service, covering equity, fixed income, multi asset and absolute return investment strategies. We have approximately 160 employees split across our Guildford and London offices, with hot desks available, our colleagues spend time in both offices which gives great exposure to all parts and levels of the business.

Our culture defines how we aim to work in an ethical and constructive way to meet our objective of acting responsibly and doing a good job for our clients and other stakeholders. All our employees sign up to a code of ethical and professional conduct which means they are expected to conduct themselves with integrity and honesty in an open and transparent manner and support our core values.

## Investor Services Associate

We are looking for an Investor Services Associate to join our Investor Services team based in our Guildford office.

This role will undertake the day-to-day administrative activities, such as new business and servicing clients, by maintaining accurate client and advisor records. In addition, taking ownership of customer and adviser queries in a timely manner.

If you are interested in the role, please send your CV together with details of your Right to Work in the UK to:

[Recruitment@premierfunds.co.uk](mailto:Recruitment@premierfunds.co.uk)



### Premier Miton's purpose and values

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

Dedicated

Passionate

Responsible

Independent

Collegiate

# Job Description

## Key responsibilities

Responsibility	Associated Tasks / Deliverables
Processing and administering business for PFM (including SEI or any other 3rd party) or PPM (where required) timely and accurately	<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. Ensuring they are in line with expectations of both the client and Premier, resolving these in a timely manner</li> <li>• Monitoring work queues, re-allocating and escalating, ensuring that SLAs are met</li> <li>• Owning the answering of customer and adviser queries (by post, phone or email) in a timely manner (including setting up Online Valuation Service) and monitoring of outstanding queries to satisfactory completion</li> <li>• Maintaining accurate client and adviser records and updating where necessary</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>
Discretionary Business (internal and external)	<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 in a timely manner.</li> </ul>
Transformation programme	<ul style="list-style-type: none"> <li>• To support the Investor Services Leadership Team to deliver against any key Change Delivery Programmes, where it is within PFM's / PPMs 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 are then 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>
Quality	<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>

Service	<ul style="list-style-type: none"> <li>• Strive to maintain 'clear to zero' daily</li> <li>• Efficient, prompt working practices</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, striving for 100%</li> </ul>
Monitoring, reporting and reflecting	<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>
Risk and Control Management	<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, if no appropriate control is in place seek measures to address it</li> <li>• Resolve any failures in a timely manner, escalate where required (e.g. DPA or CASS)</li> <li>• Take action; understand what went wrong and identify ways of ensuring it does not happen again</li> <li>• Report risk/control failures and errors in a timely manner and in line with 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>
Projects	<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>
Self-learn and Develop	<ul style="list-style-type: none"> <li>• Maintaining a training log, to identify areas where you are less confident</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>
Accountability	<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 and 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>
Other	<ul style="list-style-type: none"> <li>• Any other responsibilities as required from time to time</li> </ul>
Individual Conduct	<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> <li>• Act to deliver good outcomes to retail customers.</li> </ul>

## Education, experience, skills & abilities

Education / Professional Qualification	<ul style="list-style-type: none"><li>• Educated to GCSE level or equivalent.</li></ul>
Experience / Knowledge	<ul style="list-style-type: none"><li>• Experience of working in Investor Services / Client Services in the finance industry, preferably in Fund Management, Wealth Management or other similar customer/adviser facing role</li></ul>
Competencies / Skills	<ul style="list-style-type: none"><li>• Team player with a positive, results orientated approach</li><li>• Communication skills with the ability to communicate effectively – both written and verbally at all levels</li><li>• Excellent 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>
Characteristics	<ul style="list-style-type: none"><li>• Ability to work under pressure and adhere to strict timescales.</li><li>• Attention to detail</li></ul>