

Job Description – Investment Manager

Job Title	Investment Manager
Reports to:	Team Leader

Summary of role:

This is a key client-facing role, having responsibility for client investment portfolios, client relationships and for supporting the client in engagement with our financial planners.

The role manages up to 100 clients having portfolios of £250,000 or more, following our central investment model.

The role acquires new clients, through referrals, and by pro-actively presenting our service to potential clients and to introducers such as lawyers and other professional advisers.

The role also supports our investment strategy and business plans, through input to our investment management committee and investment managers' forum.

This is a FCA regulated role (CF30), and the role holder is responsible for their compliance with regulatory and professional standards and for their ongoing technical competence and professional development.

The role is based at either our London or Manchester office, with some working from home, and a large part of the time is naturally spent in out of office client meetings.

Responsibilities:

1. To maintain the highest standards of client care, professional conduct and regulatory compliance.

Ensure that clients for which the role holder is responsible are served and managed to the highest professional standards and in accordance with all relevant regulatory considerations.

In particular:

- Ensure that clients receive an appropriate standard of service and communication.
- Ensure that clients understand their investments, that the investments are suitable and that performance reviews, risk profile reviews and other client servicing activity happens at the right intervals and is conducted to the highest standards.
- Deal with any ad hoc client requirements and ensure that clients maintain the highest levels of satisfaction with our service.
- Follow the company's operating policies and procedures, so that client servicing is conducted consistently and efficiently and operational risks are appropriately managed.

2. To manage client portfolios to the highest standards.

Ensure that client assets are allocated to an appropriate mandate and investment model, and that any model changes are immediately implemented.



Monitor the tax implications of portfolios as agreed with clients, particularly for CGT, and ensure that these are considered when making portfolio changes; review any model exceptions which arise with the Head of Investment Strategy to agree any appropriate deviations from the model.

Liaise with Financial Planning colleagues to ensure that clients are offered appropriate advice in relation to areas such as IHT planning, pensions, succession planning and protection.

3. To acquire new clients and AUM.

Grow the number of clients served by recruiting new clients through referrals, personal networking and by making presentations to professional firms such as lawyers.

Respond to new enquiry leads generated by the firm, converting them to become new clients.

Grow AUM by encouraging clients to bring more assets to the firm, through doing an excellent job and by identifying specific opportunities such as ISAs and SIPPs.

4. Support team working across the business.

Provide input to the investment management process, by way of insights and suggestions shared with the investment management committee.

Maintain close working relationships with colleagues in operations, compliance and other support areas, to ensure that client servicing is maintained efficiently, consistently and safely.

Identify opportunities for process improvement and share these either directly with the relevant area or through meetings such as the investment managers' forum.

Immediately escalate any potential compliance, operational or reputational risks to a member of the executive committee.

Share knowledge and insight with colleagues and foster a collegiate team culture across the firm.

5. Personal Development

Maintain and record one's own continuous professional development relevant to the role, including a close ongoing understanding of the investment markets relevant to clients; awareness of developments in the investment industry; and a good understanding of relevant regulatory developments.