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| Job Title: | Reconciliation & Control Team Leader |
| Department: | Investment Administration |
| Business/Function: | Novia Financial |
| Main Location: | Henry Street, Bath |
| Reports To: | Investment Administration Manager |
| Job Summary/Purpose | |
| <p>The purpose of this position is ensure the smooth and efficient running of the reconciliation & controls team. A mixture of operational and regulatory focus provides a varied and interesting role for someone who has experience in management in this sector, or for an ambitious and talented administrator who wants to take the next step in their career.</p> <p>Reporting directly to the Investment Administration Manager, you will be key in both delivering team and individual targets within the appointed timescales and to the highest standards.</p> <p>The team leader will be responsible for the day to day line management of the team, ensuring that team are delivering work accurately and within expected timescales. In addition to this, you are expected to motivate, inspire and develop those staff so that they can grow in line with aspirations of the business.</p> | |
| Key Responsibilities | |
| <ul style="list-style-type: none"> • Responsibility for overseeing and participating in the maintenance of the core team processes: <ul style="list-style-type: none"> ○ Daily client money reconciliations ○ Periodic stock reconciliations ○ Reconciliation investigation ○ Regulatory returns ○ Liaison with third parties such as fund managers and banks ○ Adherence to regulatory guidelines ○ Payment checking and authorisation ○ Tax • Manage the team to achieve an effective workflow, contributing towards an efficient execution of responsibilities. • Work with the management team to maintain a collaborative approach in achieving the department's SLAs and KPIs. • Responsible for team development through structured 1-2-1s, appraisals and individual training and development plans. • Remain up to date on all relevant external regulatory requirements and internal processes to ensure all procedures and processes are accurate and approved. • Handle escalated enquiries and complaints, liaising with colleagues to achieve resolution and ensuring that the customer has been treated fairly throughout the process. • Encourage and value ideas and initiatives. • Demonstrate flexibility during periods of high workload, assisting other services when required. • Support the business software infrastructure with user acceptance testing and disaster recovery cycles. • Achieve and actively maintain your skills and knowledge to adhere to the Training and Competence standards, undertaking Overseer activities as nominated • Ensure that the risk management process is promoted, supported, managed and implemented effectively in the team. Liaise with the risk unit to identify and manage risk effectively. • Working with own team and the other managers to define, manage and continually improve the team and business processes • Coach and inspire and develop those staff so that they can grow in line with aspirations of the business <p>You will from time to time be required to undertake other activities that fall within your capabilities as directed by management.</p> | |

| Core Competencies | |
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| Business Focus The motivation and ability to apply good financial practice and company procedures at all times | |
| Operational Excellence Continually delivering and improving excellence for clients and customers | |
| Client and Customer Focus Add value to client/customer, adhere to Treating Customers Fairly principles, and operate as a true business partner | |
| Communication Communicate clearly and concisely, tailoring content and style, with ability to make a positive impression on others | |
| Expert Knowledge Consistent application of professional or specialist knowledge and skills; takes opportunities to contribute to policy and best practice | |
| Working With Others Working successfully with others and building a network of good relationships in order to achieve shared goals | |
| Performance Focus Demonstrate energy and enthusiasm, takes ownership, delivers results and improves personal performance | |
| Authority Levels and Decision Making | |
| <ul style="list-style-type: none"> • Changes in process and procedures • Regulatory breaches and complaints • Payments within delegated authority levels • SLA adherence <p>Responsible for:</p> <p>The role has accountability for staff performance and appraisals in conjunction with line manager.</p> | |
| Key Contacts | |
| <ul style="list-style-type: none"> • Third party service providers • Investment managers • Equity brokerage • HSBC • Operations teams | |

| Specialist Skills, Qualifications and Experience | |
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| Essential: | Desirable: |
| <ul style="list-style-type: none"> • Financial services experience • Understanding of investments and investment products • Reconciliation background • Good attention to detail • Excellent interpersonal and communication skills • Ownership and accountability | <ul style="list-style-type: none"> • Investment Operations Certificate (IOC) or equivalent industry recognised qualification • Strong understanding of the concept of a wrap provider • Strong CASS Knowledge, in particular CASS 6 & CASS 7. |

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| <ul style="list-style-type: none">• Excellent drive with ability to work unsupervised and under own initiative• Ability to work well under pressure and to tight deadlines• Working knowledge of Excel | |
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