

CLIENT SERVICE MANAGER

Division/Department	Client Operations
Reports to	Regional Client Operations Manager
Responsible for	No direct reports

Role Overview

- To develop and manage relationships with independent financial advisers, through market leading service and support.
- Process client and adviser firms' instructions efficiently, getting them right first time.
- Focus on personal development and initiatives that continually improve our service to advisers.

Key Areas of Responsibility

Portfolio Administration

- Answering calls from adviser firms and their clients promptly, providing them with high quality service. Aiming to supply all the information needed on the first call efficiently and accurately.
- Carrying out instructions received via post, Transact Online and e-mail within the agreed time-scales.
- Prioritising and managing your workload throughout the day.
- Responding to queries from clients, advisers and colleagues in a timely manner.
- Quality checking your work and that of your colleagues to ensure we achieve our goal of "right first time".
- Adhering to all processes and meeting daily deadlines, ensuring our service is consistent and the business is compliant with FCA regulations.
- Understanding the risks and governance requirements for the Group and adhere to the controls in place, flagging and escalating risks and errors that you find.
- Demonstrating flexibility to be able to work with other teams at short notice. Including our onboarding team, document management and alternate regional teams.
- Being alert to fraud attempts, vulnerable clients and taking care to safe-guard our clients' investments and data.

Relationship Management

- Developing and managing relationships with the financial adviser firms based in the region of the UK assigned to your team.
- Giving feedback to Advisers and their Clients to help them utilise Transact in the best way for their business.
- Owning and managing relationships with a number of key adviser firms.
- Understanding the different business models of the Adviser firms that you manage.
- Providing training and support via phone to financial advisers and their staff in order to develop their understanding of Transact and Transact services.
- Being able to work with our sales and adviser support teams so that relationship development is seen as a whole company activity.
- Resolving complaints and errors quickly, sensitively and accurately.
- Building and maintaining mutually-beneficial relationships with colleagues across the company to ensure the clients get the best possible service.

Continuous Improvement

- Always look for ways in which we can improve our service, reduce errors and individual or team efficiency.
- Being prepared to offer suggestions and working with others in creating more efficient working practices.
- Being aware of the changing needs of our clients and ensuring that this is shared with relevant individuals and departments.
- Actively participating in your own one-to-one meetings, team meetings and completing your annual Performance & Development Review (PDR).
- Identifying your own training and development needs and work with your line manager to address them.
- Seeking feedback and providing feedback to aid development of self and others
- Mentoring other team members and new staff members.
- Sharing knowledge and best practice with other team members.
- Seeking and developing expertise.
- Ensuring your knowledge of our systems is always up to date.
- Identifying and helping to solve systemic issues.
- Continually considering changes to our processes and systems to improve our service proposition.
- Undertaking continual professional development relevant to your role.

Education and Knowledge Requirements

Essential	Desirable
<ul style="list-style-type: none"> • Educated to GCSE Level or equivalent, with at least a 'C' in English and Maths 	<ul style="list-style-type: none"> • Financial Services Qualification (IOC, CFP) • Knowledge and understanding of ISAs and Pensions • Basic knowledge and understanding of Unit Trusts, OEICs, ETFs and equities • Knowledge of Onshore and Offshore Bonds • Knowledge of structured products, fixed interest products and Investment Trusts

Experience Requirements

Essential	Desirable
<ul style="list-style-type: none"> • Previous experience in client facing or customer service based role 	<ul style="list-style-type: none"> • Experience of providing direct service to financial advisers • Minimum of 18 months financial services experience

Attributes

- Ability to prioritise workload efficiently
- Ability to work effectively under pressure
- Excellent communication skills, both written and verbal
- Excellent attention to detail
- Ability to work as part of a team to achieve targets and improve
- Ability to innovate
- Ability to demonstrate initiative
- Ability to train and mentor

Competency Requirements

Working with others (level A)

Works collaboratively with others to achieve common goals

Impact and influence (level A)

Builds rapport, uses persuasion and influence to obtain support and buy-in for activities to the benefit of the business

Leadership (level A)

Demonstrates an ability to drive, motivate and inspire both self and others to achieve goals

Developing self and others (level B)

Develops self and others, showing a genuine interest in helping others reach their potential

Achievement orientation (level B)

Works to achieve results and improve individual and company performance through what they do

Customer orientation (level B)

Develops and maintains strong relationships with our customers and understands how this relationship is central to Transact's success

Relationship building (level B)

Builds mutually beneficial, collaborative, long term relationships both internally and externally

Planning and organising (level B)

Has ability to plan, organise and prioritise work

Innovation and continuous improvement (level A)

Seeks and uses ideas to continually improve performance or themselves and the business

Analytical thinking and decision making (level A)

Has ability to analyse, investigate and interpret information, issues and situations to make the right decisions in a timely manner

Financial and business awareness (level A)

Understands what Transact does and the business environment in which it operates

Accountability

As a financial services company we are bound by various rules and regulations. In this role you are particularly accountable for these areas:

Compliance & Risk

- Adhere to all processes and deadlines as required by the Group Compliance department in line with regulations.
- Understand the risks, control and governance requirements for the group and flag and escalate risks and error within your remit.
- Comply with all internal policies and procedures.

- Comply with the Conduct Rules.

Training and Competence *

All of our staff are expected to acquire and maintain the desired level of competence for their role which requires them to have the skills, knowledge and expertise needed to discharge the responsibilities of their role. This may include Continual Professional Development (CPD).

You are required to:

- Undertake all training required for your role.
- Attend and participate in internal training courses as required by your role.
- Undertake continual professional development relevant to your role.
- Continue to maintain technical knowledge and contribute to the development of the knowledge of other team members.

IDD (Insurance Distribution Directive) *

As an insurance distributor you are required to undertake a minimum of 15 hours per annum of relevant CPD and keep a record of it.

MIFID II*

As an information giver you must hold or attain, within the first four years of commencing your role, an appropriate qualification such as the CISI's 'Introduction to Securities and Investment'.

* For definitions, please see the T&C Guide