

POSITION DESCRIPTION

Job Title: Settlements & Client Administration Officer

REPORTS TO: Executive Manager, Administration

JOB PROFILE: The Settlements & Client Administration Officer follows company transactions from inception to execution and completion. The position therefore requires someone who has a solid understanding of mathematics and financial products as well as the interpersonal skills to provide great customer service.

KEYWORDS: Portfolio and Wealth Management Administration, Settlements, Customer Service, Data Entry.

Key Responsibilities and Accountabilities

Transaction Settlements

- Primary officer for transaction settlements. Involves the delivery of deal confirmations, client confirmations, trade reports, broker instructions and all other documentation necessary for the successful completion of a trade or other sale of a security.
- Liaises with transaction counterparties to ensure timely settlement.
- Investment and Financial Database Management

Transaction Operations

- Teller operations for the Unit Trust agency
- Daily transactional or other client data entry into the company's investment management system to ensure up-to-date client portfolio data.
- Administration of client confirmations and statements.
- Current reporting and analysis of client, investment and asset registers.
- Assists in liaising with potential and current clients seeking financing. Involves the sharing and regular updating of requirements for compliance and credit approval.
- Administration of financing disbursements.

Customer Service

- Primary contact for telephone requests, walk-in clients and any other client interfacing which may be required.
- Maintain client database records inclusive of client portfolios, status reports and other client-tracking mechanisms
- Maintain client relationships and proactively communicate with current and prospective clients via physical sale meetings, telephone, email, online and any other media
- Active participation in Firstline market development strategies
- Assist in the creation and development of operational front office procedures
- Periodic reporting to clients
- Respond to all client queries in a timely manner

Compliance & Onboarding (Back-up)

- Lead prospective customers through the client onboarding process for approval.
- Work with client representatives and the compliance department to ensure that all prospective and current client files and portfolios remain complete, up to date, filed comprehensively and in compliance with all internal and external regulations and policies.

Accounting Assistance (Back-up)

- Prepare payment vouchers, cheque payments and online payments in a timely manner to ensure all liabilities are settled before the due date, and all transactions are properly recorded, and they are adequately supported by approved documentation.
- Maintain fixed assets register and carry out periodic inventory.

General

- Assist in Firstline trade show and event planning
- Conduct internet and paper-based project research
- Liaise with external service providers
- Involvement in the start-up, development, management or improvement of current and proposed Firstline initiatives.
- Provide team support as required
- Any other role which Management or the Board may reasonably request.

Skills and Qualities

- **Preference will be given to applicants with accounting, actuarial, mathematical, engineering, IT, or any other backgrounds which require mathematical and analytical competence.**
- Efficiency with Microsoft Excel and web-based applications.
- Analytical, mathematical and problem-solving skills.
- Excellent oral and written communication skills.
- A confident demeanour in both public arenas and one-to-one situations.
- Strong interpersonal skills.
- Intermediate knowledge of investment products.
- Willingness to learn continuously.
- Ability to work in a team.
- An entrepreneurial work ethic which is both independently proactive and team-oriented.

Values

- Integrity and honesty.
- Obedience to laws.
- Preservation of capital.
- Discipline.
- Commitment.
- Self-motivation.

Performance Measures

- Increased administrative efficiency.
- Legal and ethical compliance.

- Positive client feedback.

The statements contained in this job profile describe the general nature and level of work being performed by the person accepting this role. This job profile does not state or imply the only duties and responsibilities assigned to this job. Employees holding this job will be required to perform any other job-related duties requested by management.