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JOB TITLE: INVESTMENT MANAGER

REPORTS TO: HEAD OF INVESTMENT MANAGEMENT

Kingswood Holdings Limited (trading as Kingswood) is an AIM-listed integrated wealth management group, with more than 16,000 active clients and c. £6 billion of Assets under Management. It has a growing network of offices across the UK as well as offices in New York and Johannesburg. Clients range from private individuals to some of the UK’s largest universities. The Group’s vision is to become a leading global provider of trusted wealth planning and investment management solutions to clients, underpinned by investment in people and innovation in technology to support our advisers and clients.

## 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, primarily through working with our own Wealth Planners and Business Development managers with the role holder expected to be competent in 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 Model Portfolio Committee.

The role holder is responsible for their compliance with regulatory and professional standards and for their ongoing technical competence and professional development.

**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 are 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.

1. **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.

1. **To acquire new clients and AUM.**

Grow the number of clients served by working with Wealth Planners and Business Development Managers 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 Policy Committee and Model Portfolio 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.

**SKILLS AND EXPERIENCE**

The successful candidate will:

* be CISI - Level 4 qualified as a minimum with a desire to continue with exams and progress to level 6.
* currently be managing a portfolio of UK private clients
* have experience of managing third party funds
* have a clear interest in markets
* have an ability to relate to a broad range of individuals.
* have a can-do attitude.

Interested should send a CV to Linda.Tottem@Kingswood-Group.com