



## Role specific information

<b>Title</b>	<b>Operations Specialist</b>
<b>Department</b>	<b>Operations</b>
<b>Report to</b>	<b>Head of Operations</b>
<b>Location</b>	<b>London / Hybrid</b>

### The primary purpose of this role

To fully understand, to an advanced level, all aspects of Operations including both Asset Management, Treasury and Banking. The role will further require a thorough understanding of all products as well as the interaction between the business, other support areas and Operations in addition to being a specialist in the delivery of all support services for the Asset Management and Treasury business.

To serve as a leader and innovator of the Operations department ensuring that the following standards are continually achieved:

- High level of efficiency, accuracy and control
- An innovative and agile pace is exercised providing a timely service to clients
- Full compliance with procedures and guidelines
- Risk is minimised through effective controls

### Key responsibilities

- Processing and controlling the daily workflow of all Securities transactions executed by Financial Markets on behalf of Discretionary and Fund business lines including:
- Instructing, confirming and settlement of trades
- Fails Management
- Capital and Income Corporate Action events
- Dividend and income administration
- Static data maintenance
- Stock and cash reconciliations
  
- Managing the EMIR, MiFIR and SFTR related reporting exceptions including enhancements to support new funds and instruments
- Processing of Trade Finance transaction cycle processing for Discretionary and Fund business lines
- Understanding and ability to fully support the Treasury and Banking settlement processes under our outsource provider
- New instrument evaluation and testing
- New fund process mapping and testing
- Ensuring that Operational Resilience and Important Business Services are fully supported in line with regulatory requirements
- Representation at key working groups and committees
- Ensure that all work processes are performed in line with operational procedures in a timely manner and controls are maintained
- Ensure the Department procedures are complete and fully up to date with current work processes and are read and understood on a regular basis
- Be fully aware of all market deadlines and products supported by the Department
- Ensure that key controls are identified in mitigation of risk, fully documented, performed and understood and regular reviews are performed
- Undertake project tasks to support on-going system upgrades and implementations that are associated with the processes of the Department and representation at PWG level
- To be aware of regulatory and/or market developments applicable to your areas of responsibility
- To ensure that you are aware of and understand the Business Continuity processes within your area of responsibility taking part in any relevant tests on an ongoing basis
- Achievement of business or learning objectives as agreed with the Head of Operations
- Communicate ideas and give recommendations to the Head of Operations on increasing efficiency, reducing operational risk and costs



- Undertaking any other reasonable duties as required by the Head of Operations
- Ensure that monthly departmental statistical information is generated, verified and delivered to the Head of Operations within 5 business days following the month end date.

### **Skills, knowledge and experience**

Minimum Five GCSE pass qualifications, including Maths and English.

Industry recognised qualifications related to the Securities Market

- Investment Operations Certificate (CISI)
- ESG Responsible Investment (PRI)

#### Essential

Processing - Minimum 7 years' experience covering all aspects of both Securities and Treasury settlement processing

Project Related - Performing system validation tests and business impact analysis in support of key change demands

Regulatory Reporting – Understanding and reporting of:

- MIFIR for securities and derivatives
- EMIR for derivatives
- SFTR for financing
- Post Trade for all relevant transactions

MS Excel – Intermediate level

Swift – Cat 1, Cat 2, Cat 3 & Cat 5 series messages

#### Desirable

- Related systems usage
  - Dimension
  - Omgeo CTM & ALERT
  - UnaVista (MIFIR & EMIR)
  - DTCC HUB (SFTR)
  - TRAX APA (Post Trade)
  - Finastra
  - Murex
  - UBS Flexcube
  - MS Word
  - SGSS Markets
  - JPMorgan Access
  - State Street Captain
  - Bank of New York Mellon Workbench
  - Northern Trust Passport/CDR

This role could be performed remotely in the event that the ideal candidate is unable to travel into the office for disability reasons. Other adjustments can be made to support disabilities and neuro-divergences.