

Job Description

Job Title:	Assistant Investment Manager
Department/Office:	Investment Management Team
Reporting to:	Head of Office
Responsible for:	
Brief description of role	Responsibility for the management of private client investment portfolios
Controlled function	Yes

*In accordance with the FCA regulations this role is defined as a **Certification Regime** function in the following capacity;*

<i>Certification role:</i>	<i>Client Dealing Function</i>
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You are obliged to adhere to the First Tier of the FCA's conduct rules. Should disciplinary action result from a failure to comply with these rules, then Hawksmoor will be obligated to inform the FCA of any breach. You will take all reasonable and necessary actions to maintain your ability to perform a Certification Regime function. As a Certified Function you will be expected to discharge the highest level of standards for both financial and non-financial misconduct.

This role is also consider an "information giver" under the FCA regulation .

Main Tasks

To assist Investment Managers in their roles through the following;

- monitoring clients' portfolios on a regular basis
- to prepare and execute orders as instructed by an Investment Manager to maintain portfolios suitable to clients' investment objectives
- responsible for ensuring that client instructions are carried out in a timely manner
- responsible for ensure that communications and queries received from clients and Introducers are actioned promptly and efficiently
- to ensure that valuations and contract notes are produced and dispatched to clients within internal timescales
- to maintain a very high level of client care and service with both clients and Introducers
- to act as a point of contact for specific Introducers of business to Hawksmoor and to assist in the development of new relationships
- to foster relationships with existing and potential clients and Introducers
- to keep up to date with regulatory, market & investment information and maintain a working knowledge of relevant professional developments, ensuring that these are acted upon in the clients' and the Company's interests

- Stay up-to-date on Consumer Duty training and regulatory requirements as they pertain to client portfolio management, trade execution, and client/introducer interactions. Proactively consider client needs, treat them fairly, and act in their best interests when executing trades, interacting with clients/introducers, and performing portfolio maintenance. Identify and escalate any issues relating to client outcomes or foreseeable harm to your manager.
- Demonstrate a commitment to promoting and supporting diversity and inclusion in the financial sector, in line with the FCA's regulatory framework and objectives.

Qualifications	FCA Level 4 qualification Educated ideally to Degree but at least to A-level standard
Skills and competencies	Experience of direct client contact Excellent inter-personal and communications skills Up to date knowledge of regulatory expectations, markets, asset-classes, and stocks/ funds Ethical mindset Strong consumer-centric focus on positive outcomes

Additional activities

The job-holder will be required to perform any additional activities that are relevant to the role, as determined by management.