

Role title: Senior Pension & Investment Administrator

Department: Pension & Investment Administration

Reporting To: Head of Pension & Investment Administration

Supervision Exercised:

- **Number of people directly reporting:** 0
- **Number of people indirectly reporting:** 0

Contacts:

- **Internal:** All Employees
- **External:** Clients, FCA/Auditors/Compliance Consultants, Consultants, Software Providers, Pension Providers, Investment Houses, Pensions Regulator and HMRC

Main Purpose of the Role:

- The role requires a competent and experienced individual who can oversee and manage the day to day administration of clients as well as having the knowledge, expertise and capability to resolve more complex issues which will have been escalated. The role will involve co-ordinating and planning as well as overseeing projects and any ad-hoc tasks. They will also be responsible for the completion of monthly, quarterly and annual tasks. Previous DC and DB knowledge is required.

Duties and Responsibilities:

- To provide an efficient and consistent administration service to clients
- To be the main point of contact for a large pension scheme with DC and DB sections
- Identify and resolve problems that may arise with day to day work issues in the department
- The role requires a competent Administrator who can focus on the day to day administration, deal with all basic issues that arise and also have the knowledge, expertise and capability to recognise more complex issues, which may need to be discussed and resolved in conjunction with compliance
- Processing tasks for clients including transfers, surrenders, retirements, annuities, pension transfers and investment business including all client communications around these processes
- Ensure that records are accurately updated and timely response is given to client queries via telephone, email or in writing
- Liaising with clients and 3rd party companies over the telephone and in writing
- Provide support and technical expertise in delivering ad-hoc client requests
- To recognize potential instances of fraud and money laundering and, where agreed, report these instances to the Money Laundering Reporting Officer
- To assist the Compliance Officer in identifying, investigating and rectifying rule breaches relating and assist in fulfilling any associated reporting requirements.
- To take responsibility for checking other team members work and where necessary allocate checking to the team.
- To monitor proposed and confirmed changes in legislation
- Act as mentor to other administrators
- Ensuring good audit trails on Adviser Office and Volume
- Deal with all ad-hoc administration queries as requested by the Head of Pension & Investment Administration or one of the Pension & Investment Administration Managers.
- To work closely with the Pension & Investment Administration Managers on all regulatory reporting as required.
- Make the team manager and Head of Department aware of any issues and escalate where necessary



- Maintaining and updating the Pension & Investment Administration procedures/manual
- Contribute to corporate development and prosperity, assist other staff and be involved with their training as required
- Ensuring high and accurate standards of work at all times
- Develop positive communication and working relationships with both clients and internal departments

General:

- To ensure the confidentiality of all work undertaken
- To be aware of and comply with all Health and Safety Requirements affecting your work and report any problems immediately
- Yearly review of the Business Continuity Plan (BCP)

Business Development:

- Assist with updating of Procedures Manual and ensure that it remains up to date
- To make recommendations as to how the firm's systems and procedures might be improved
- Contribute to corporate development and prosperity, assist other employees and be involved with their training as required
- To assist in the creation, implementation and development of internal systems, in order to meet regulatory obligations, and to improve and maintain efficient working practices within the organisation
- Promote the brand
- Promote the core values so that they are live throughout the team

Client Service:

- Ensure the firm's high standards of client care are met
- Ensure the confidentiality of all work undertaken for clients, and work within the principles of the Data Protection Act

Compliance:

- Comply with the FCA's Treating Customers Fairly requirements, and other requirements set out in the company manual and processes
- To co-operate fully with Courtiers' Anti Money Laundering requirements
- To maintain records in accordance with Courtiers' compliance requirements as set out in its compliance manuals and procedures
- Work within the requirements of the Data protection policy
- You will, at all times, be operating under strict regulatory and legislative regulations and follow internal procedures and systems

IT:

- To effectively use all the relevant IT facilities made available by the company
- To use IT facilities within the guidelines set out by Courtiers' IT Department

Employee:

- To work with and support other employees working within the various departments of the company
- Create and promote a positive working environment within which each individual feels they make a valuable contribution and knows how their success will be measured

Skills and Knowledge Requirements:

- Willingness to undertake study
- Ability to manage own workload and work within a small team
- Knowledge of business processes, standards, policies and procedures
- Experience within the Financial Services Industry
- Exceptional communication skills at all levels
- Excellent organisational skills
- Knowledge of Microsoft Word, Excel, Outlook and ideally Adviser Office
- It would be preferable for them to hold a relevant qualification such as the CII FA1 or FA2



- The Administrator should have a sound understanding of the operation and application of Pension administration
- There needs to be a good working knowledge of the concepts of HMRC rules and practice, and the wider regulatory obligations
- The Administrator should be proactively working towards increasing their technical knowledge of all aspects of pensions and identify specific areas of weakness for further development
- Knowledge of the industry
- Experience within the Pensions Industry and especially with Money Purchase and Defined Benefits is required
- Ability to work under pressure
- Good knowledge and understanding of the Statements of Principle for Approved Persons

Training:

- Take part in any relevant in-house or external training as required
- To attend relevant seminars and other presentations as appropriate
- To retain a record of personal CPD

Additional Responsibilities and limits of Authority:

- To assist the Heads of other departments in any tasks relating to the development of business
- Any other duties which may reasonably be expected and which fall within your capabilities or general area of responsibility

