



## Role Profile

Role Title	Investment Manager
Reporting to	Arlene Ewing
Team	Glasgow
Division	Investment Management
Key relationships	Arlene Ewing / Murray Mackay
Regulatory status	Certified Person (CP): <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
If CP, please confirm: (i) The type of certified function(s) performed  For guidance see <i>Role descriptions – help with defining Certified Persons</i>	Please tick as many as applicable:  Material Risk Taker (MRT) <input type="checkbox"/> Client-dealing function <input checked="" type="checkbox"/> Requires FCA qualification <input checked="" type="checkbox"/> Supervisor/manager of a CP <input type="checkbox"/>
<b>Qualifications</b>	
(ii) Mandatory professional qualifications and exams (required for the role)	(ii) Mandatory professional qualifications and exams required under the FCA T&C rules or prescribed by IW&I ( <b>please state N/A if no qualifications/exams are required for this role</b> ): L7 qualification preferred. L6 minimum requirement.
Team Description	IM sought to join established, growth-oriented teams both to provide support for entrepreneurial IM and to develop their own client base / FUM. Glasgow £1.4BN FUM, 31 staff , including FP Team.
Description of role and key responsibilities	<ul style="list-style-type: none"> <li>• To provide high quality advice to private clients</li> <li>• Review and report on performance of investments against objectives</li> <li>• Assess relationship between clients' circumstances/objectives and portfolio objectives in terms of suitability (working closely with Portfolio Manager)</li> <li>• Actively engage and network with the local community to continually grow the business. Business Development knowledge</li> <li>• Keep abreast of the in-house research process and market developments, communicating with Portfolio Manager on client portfolios</li> <li>• Liaise closely with Financial Planning and Discretionary Fund Management teams</li> <li>• Monitor and undertake administration (i.e. valuations, income payments etc.) Liase with clients</li> <li>• Maintain records of investment activities and market performance</li> <li>• Continue to build Firms Brand and personal Brand locally</li> <li>• Ensure KYC is up to date and relevant action is taken in respect of the date</li> </ul>

	<ul style="list-style-type: none"> <li>• Liase with Suitability Assurance Team</li> <li>• Ensure all activities/actions undertaken meet and comply with compliance standards</li> <li>• Ensure TCF is implemented in line with Companies expectations</li> <li>• Ensure CPD is met annually</li> </ul>
Core skills and knowledge	<ul style="list-style-type: none"> <li>• Excellent communication skills</li> <li>• Strong explanatory and presentation skills with experience pitching and presenting.</li> <li>• Strong IT/computer skills</li> <li>• Strong numeracy and literary skills</li> <li>• Knowledge of regulatory obligations in relation to your role as a CP and as an Approved Person</li> <li>• Familiarity and understanding of the Charity sector preferred</li> <li>• Knowledge of compliance requirements, including but not limited to: Data Protection, AML, Market Abuse, Fraud Awareness, Advising &amp; Selling, Conduct Risk, Client Assets, Bribery &amp; Corruption, Financial Crime, Gifts Policy</li> </ul> <p><b><u>Controlled function: Certified Person</u></b></p> <ul style="list-style-type: none"> <li>• Advising on investments other than a non-investment insurance contract (but not where this is advising on investments in the course of carrying on the activity of giving basic advice on a stakeholder product) and performing other functions related to this such as dealing and arranging</li> <li>• Acting in the capacity of an investment manager and carrying on functions connected to this;</li> </ul>
Any other attributes that would be helpful, but not essential for the role.	<p>Putting clients at the heart of everything we do, through behaviour consistent with the culture and values of the organisation:</p> <ul style="list-style-type: none"> <li>• Proactive individual who is naturally efficient, organised, can manage time well and competent at working to deadlines.</li> <li>• Able to communicate at all levels and prepared to assist fellow team members in all aspects of the day to day business.</li> <li>• Reliable and enthusiastic individual with a strong sense of integrity.</li> <li>• Strong interpersonal skills.</li> <li>• A team player who is prepared to put in additional hours, if necessary, to meet deadlines.</li> </ul>

This role description accurately reflects the key responsibilities and associated skills, knowledge and attributes required for to perform this role at this time. It is the responsibility of the employee and manager, to update this profile, (and store against the employee's record), as responsibilities, required skills and knowledge changes.