

JOB DESCRIPTION

Job Title:	Head of Operational Services
Department:	Operations
Position reports to:	Director of Operations
Position is responsible for:	Managers x 3 and their teams
Location:	Leeds
Regulated Job Role	Certificated Role

ROLE PURPOSE

To lead, oversee and provide strategic direction to three cross-functional teams (Settlements, Operations & AML, and Custody Management/Transfers), ensuring an effective and efficient operating model is developed and maintained, in line with our 5-year strategy plan for the wider business.

The role will have strategic oversight for supporting the provision of excellent customer service to both external clients and internal teams. You will be overseeing three managers and their respective Assistant Managers (who in turn will be managing upwards of 30 FTE across the combined teams) and providing senior leadership, direction and coaching and ensuring relevant controls and risk mitigators are in place.

As part of our 'Stand Together / Stand Out' culture, you will collaborate openly with others, offer support where it's needed, and demonstrate a commitment to always performing at your highest standard.

RESPONSIBILITIES

1. Leadership and oversight of the Settlements, Operations & AML, and Custody Management/Transfers teams.
2. Set and monitor SLAs and KPIs to ensure the teams achieve (or exceed) our service standards in line with our regulatory obligations and our obligations to ensure positive client outcomes.
3. Train, motivate, and evaluate team members, creating development and succession plans and addressing any challenging issues.
4. Ensure that the roles you oversee are performed by individuals with the appropriate knowledge, skills and expertise and that competence is maintained and assessed.
5. Establish, manage, and develop a performance culture and work closely with the management teams to identify opportunities to reduce hand-offs and improve working practices.
6. Identify process inefficiencies and lead the design and development of improvements.
7. Effectively communicate with both internal and external stakeholders about strategic and operational decisions.
8. Ensure that stakeholder complaints are reviewed, and appropriate action taken.
9. Produce regular ad hoc and month-end report analysis of activities as requested by the Director and/or Executive Board.
10. Carry out other duties, including membership of management committees and project teams as requested by senior management to support the department or firm.
11. Make recommendations and implement improvements which lead to improved efficiency and/or a reduction in costs.
12. Lead and contribute to the strategic business planning process for Operations.

13. Act as a centre of excellence for knowledge relating to all aspects of your areas of responsibility, including regulatory requirements.
14. Actively contribute to the firm's various governance Committees as appropriate.
15. Ensure compliance with the Governance Framework, the Branch Manual, Code of Conduct policies and T&C framework.
16. Monitor risk management procedures, reporting any risks which may be detrimental to clients or the firm's reputation, which arise from inadequate procedures, systems, or data handling.
17. Leading and managing the embedding of the Consumer Duty. To act with integrity and for the benefit of the clients, in accordance with the objectives and cross cutting rules of Consumer Duty

QUALIFICATIONS, EXPERIENCE & KNOWLEDGE

Essential

- Holds CISI Investment Operations Certificate (or equivalent) or committed to completing within first two years of employment (full support would be given).
- Proven leadership experience from Financial Services background, ideally in Wealth Management or brokerage.
- Multiple years of experience operating as a Senior Manager/Head of or higher.
- Significant track record of success from leading cross-functional teams within Financial Services.
- Strong regulatory knowledge, particularly related to Consumer Duty and its impacts on operational teams.

Desirable

- Working experience of Crest and managing global custodian relationships.
- Previous successful project/programme management experience
- Strong knowledge of CASS & COBS rules.

SKILLS & BEHAVIOURS

- Client Focused – consistently keeping client outcomes at the heart of decision making.
- Data Savvy – confident user and developer of KPIs, SLAs and other MI for effective decision making.
- Impactful Communicator – able to successfully collaborate and influence colleagues, senior managers and directors.
- Innovative – willing to embrace new technologies and ideas to improve processes and outcomes.
- Leader of Change – Visible promoter and driver of change to improve client journeys and outcomes.
- Rigorous – Maintains high standards of delivery and holds a strong risk and control mindset.
- Strategic Mindset – confident developing and implementing plans to improve productivity and efficiency.

KEY RELATIONSHIPS

- Director of Operations.
- Heads of Asset Services and Client Services.
- Continuous Improvement team.
- Operational Managers & their teams.
- External system providers.

- Front office teams.
- Risk & CASS teams.
- Compliance.
- External custodians.

ACCOUNTABILITY

All individuals, regardless of their position, have a duty to support and promote the values and ethical principles of the Firm. Regardless of whether the role is or is not regulated by the FCA, individuals must adhere to the FCAs Conduct Rules, and there is a standard of conduct and behaviour that is required by the Firm. It is of the utmost importance that individuals seek to always uphold and promote the reputation of the Firm and should work collaboratively to deliver the best outcome. Further information is held within the Code of Conduct - Ethics Policy.

While the responsibilities in this job description are representative of the main tasks, they are not exhaustive. Therefore, role holders may be asked to perform tasks deemed reasonable to meet the business objectives resulting in amendments to the job description.

