

Job Title:	CASS Administrator
Department:	Investment Administration
Business/Function:	Novia Financial
Main Location:	Henry Street, Bath
Reports To:	CASS Team Leader
Job Summary/Purpose	
<p>The purpose of this position is to assist the CASS team in their business critical periodic responsibilities. A mixture of operational and regulatory focus provides a varied and interesting role for someone who has experience in this area, or for an ambitious and talented individual who wants to progress in this direction.</p> <p>Reporting to the CASS Team Leader, you will be key in both delivering team and individual targets within the appointed timescales and to the highest standards.</p>	
Key Responsibilities	
<ul style="list-style-type: none"> • Responsibility for the completion of the core team processes: <ul style="list-style-type: none"> ○ Supporting the company's on-going CASS adherence ○ Daily client money reconciliations ○ Daily internal stock reconciliations ○ Periodic external stock reconciliations ○ Reconciliation investigation ○ Regulatory returns ○ Liaison with third parties such as fund managers and banks ○ Adherence to regulatory guidelines ○ Nominee and investment manager payment processing ○ Tax ○ Ensure trust letters and associated signatory lists are accurate and up to date. ○ Compile monthly CMAR ○ Weekly review of CASS RP • Achieve departmental service level agreements (SLAs) and key performance indicators (KPIs) • Demonstrate flexibility during periods of high workload, assisting other services when required. • Support the business software infrastructure with user acceptance testing and disaster recovery cycles. • Achieve and actively maintain your skills and knowledge to adhere to the Training and Competence standards • Work to continually improve business procedures and processes. • Meet all Financial Conduct Authority regulations, particularly CASS 7, 8 & 10. • Follow health and safety policy and practices. • You will, from time to time, be required to undertake other activities that fall within your capabilities as directed by management. 	
Core Competencies	
<p>Business Focus The motivation and ability to apply good financial practice and company procedures at all times</p> <p>Operational Excellence Continually delivering and improving excellence for clients and customers</p> <p>Client and Customer Focus Add value to client/customer, adhere to Treating Customers Fairly principles, and operate as a true business partner</p> <p>Communication</p>	

<p>Communicate clearly and concisely, tailoring content and style, with ability to make a positive impression on others</p> <p>Expert Knowledge Consistent application of professional or specialist knowledge and skills; takes opportunities to contribute to policy and best practice</p> <p>Working With Others Working successfully with others and building a network of good relationships in order to achieve shared goals</p> <p>Performance Focus Demonstrate energy and enthusiasm, takes ownership, delivers results and improves personal performance</p>
Authority Levels and Decision Making
<p>The role does not have any management level authority however the nature of the organisation will mean that responsibility levels are higher than might normally be expected.</p>
Key Contacts
<ul style="list-style-type: none"> • Third party service providers • Investment managers • Equity brokerage • HSBC • Operations teams

Specialist Skills, Qualifications and Experience	
Essential:	Desirable:
<ul style="list-style-type: none"> • Financial services experience • Understanding of investments and investment products • Reconciliation background • Good attention to detail • Excellent interpersonal and communication skills • Ownership and accountability • Excellent drive with ability to work unsupervised and under own initiative • Ability to work well under pressure and to tight deadlines • Working knowledge of Excel 	<ul style="list-style-type: none"> • Investment Operations Certificate (IOC) or equivalent industry recognised qualification • Strong CASS Knowledge, in particular CASS 6 & CASS 7.