
JOB DESCRIPTION

Job Title: Finance Operations Officer (Investments)

Grade: B

Department: Finance Operations

Main purpose of job:

To provide excellent customer service through timely and accurate

- processing, recording and settlement of investment transactions and gifts of shares; and
- allocation and recording of donations received, together with reconciliation of the associated bank accounts (including foreign currencies).
- Dealing with all external and internal enquiries via email, phone or post to an excellent standard

Responsible to: Finance Operations Team Leader

Budgetary responsibilities: None

Responsible for (staff/jobs): None

Key Job Responsibilities:

Communicating effectively and clearly with the Private Client team, other internal customers and external parties to provide exceptional customer service through the prompt and accurate processing, preparation and/or recording of:

- all investment transactions, including settlement, for:
 - i) purchases
 - ii) sales
 - iii) transfers
 - iv) dividends and interest
 - v) gifts of shares, including CREST transfers
- Monitoring incoming investment instructions to ensure trades are routed to correct 3rd party quickly and efficiently
- Deal effectively with enquiries and tasks from internal customers including timely and effective responses and actions in respect of shared team mailboxes and CRM tasks
- Perform first line checks on all investment instructions to ensure they are compliant with CAF policy in all areas
- Allocating all bank receipts accurately and in line with KYC requirements and ensuring the prompt resolution of issues that arise

- Investigating and resolving differences in settlement amounts & dividend payments through independent problem solving, escalating to Senior Officer/Team Leader having completed an investigation with rationale
- Reconciliation of control and suspense accounts, ensuring the prompt resolution of issues arising and liaising proactively with other departments for speedy resolution of queries
- preparation of tax refund claims to HMRC accurately and ensure correct tracking
- calculation and processing of manual fees accurately
- Assist in full recording of all tasks linked to Key Performance Indicators
- Undertake training in new processes and methods, showing an ability to adapt easily and acquire new knowledge in order to carry out BAU
- To be proactive in the suggestion and development of new work processes and procedures, assisting with the implementation of solutions
- Able to communicate articulately to a high level whether verbal or written communication
- Taking ownership of work items and overseeing their resolution, ensuring high standards of quality are met
- General administration tasks as required

CAF Values and Behavioural Indicators

The CAF Values and Behavioural Indicators set out in a transparent and consistent manner the explanation of the performance expectations of all CAF People. Through the use of common language and common standard, it combines a set of behaviours with the required technical skills and knowledge needed to effectively perform in any given role in CAF. This is used for the assessment, management and development of performance of all our people across CAF

Please refer to the link: [CAF values and indicative behaviours](#) for the CAF Values and Behavioural Indicators.

Dated: July 2025

PERSON SPECIFICATION

Job title: Finance Operations Officer (Investments)

Date: July 2025

Attributes *	Essential ✓	Desirable ✓	How Evidenced ⁺
Experience Previous experience of the accounting for and processing of investment and bank account transactions (including foreign currencies)	✓		A/C/T
Qualifications Good standard of general education including a minimum of grade B in GCSE Maths and English	✓		A/E
Training Money laundering		✓	A/E
Specialist Skills/ Ability/Knowledge Processing, recording and control of investment transactions Book-keeping IT literate including MS Office and investment and accounting systems	✓ ✓ ✓	✓	A/C/T A/C/T A/C/T A/C/T
Communication Ability to communicate clearly and effectively with internal customers and external suppliers in a professional manner	✓		C
Personal Qualities Always promote excellent customer service Good problem-solving skills - solutions focussed Team player, willingness to help and contribute Analytical Adaptable to change Well organised Attention to detail Excellent time management	✓ ✓ ✓ ✓ ✓ ✓ ✓ ✓		C C C C C C C C
Special Conditions Flexibility with hours	✓		C
Prior to Appointment All posts: <ul style="list-style-type: none"> Credit Check Dow Jones Check Basic DBS Check Employment References Medical Clearance Right to Work in the UK 	✓ ✓ ✓ ✓ ✓ ✓		R/E

Key

R = References, E = Evidence/Certificates, A = Application, C = Competency Interview, T = Testing/Assessment