

### 1. JOB DETAILS

<b>Job title:</b>	Wealth Officer	<b>Job grade:</b> (Clerk/Officer/Manager)	Officer
<b>Reports to (position):</b>	Senior Wealth Manager	<b>Certified Role:</b> (Y/N)	N
<b>Department:</b>	Wealth		

### 2. JOB PURPOSE

To deliver a high quality client service and customer retention approach to client relationships to enhance product sales and revenue growth with the rest of the team.

Assisting with the Bank's securities dealing service, which entails placement of execution trades with the bank's prime broker, on an execution only basis.

Taking responsibility to complete administrative activities within the department.

### 3. JOB DIMENSIONS

<b>Number of staff supervised:</b>	<b>Direct reports:</b>	Nil
	<b>Total team size:</b>	14
<b>Financial dimensions:</b>	<b>Income target:</b>	As per the department's annual objectives
	<b>Operating budget:</b>	As per the department's annual objectives
<b>Other (e.g. number of branches, customer volumes):</b>		

### 4. KEY ACCOUNTABILITIES

Description
Ensure that client instructions are duly executed by applying all standard checks and controls, coordinating with other departments including Operations/Finance/ Compliance
Handle client queries of day to day nature via telephone/post/e-mail, ensuring all regulatory requirements and controls are duly applied

Assist in resolving clients' issues within the team in a professional and timely manner

Ensure all trades are booked in a timely manner using the bank internal systems

Keep up to date with day to day activities such as clients deal tickets, portfolio evaluations and any other miscellaneous work (administration)

Achieve a satisfactory level of knowledge of Wealth Management products and services by keeping up to date with related developments

Open, close and maintain accounts in accordance with the established procedures. Apply regulatory requirements such as KYC and Money Laundering Prevention procedures at all times

Accomplish tasks efficiently by showing concern for all aspects of the job, pay attention to detail and ensure that output is delivered at the highest possible standard

Carry out other ad hoc duties as reasonably required by management

Prepare new credit proposals and ensure renewals of existing credit facilities are completed/submitted in a timely manner

## 5. QUALIFICATIONS AND EXPERIENCE

### Minimum qualifications:

- University Degree

### Experience, Skills & Competencies

- Relevant experience of working in a financial institution such as a bank, broker, or a financial intermediary.
- Have excellent verbal and written communication skills.
- Understanding of Excel – ability to manipulate data.
- Demonstrate the ability to multitask and working under pressure.
- Self- motivated, friendly, and professional at all times.
- Accuracy, attention to detail and the ability to explain information clearly and simply.

### 6. JOB CONTEXT

#### Conduct Rules

The incumbent is subject to the **Individual Conduct Rules** as outlined in the FCA Handbook COCON Section 2.

#### HBL Values

The incumbent must exemplify & abide by the HBL UK Values, Commitments & Behaviours:

- Integrity – Be Ethical & Fair
- Customer Centric – Deliver Great Experiences
- Value People – Respect, Empower, Appreciate
- Progressive – Innovate & Challenge
- Excellence – Be Your Best

#### Frameworks & Policies

This is a 1<sup>st</sup> line of defence role and as such must ensure full compliance with the Bank's policies and frameworks relating to:

Compliance, IT & Information Security, Health & Safety, Risk & Credit, Operational Risk, Conduct Risk, Whistleblowing, Complaint Handling, New Products, Services and Promotions, Expense Management & Internal Audit.

### 7. APPROVALS

<b>Job holder</b>	
_____	_____
Signature	Date
<b>Line manager</b>	
_____	_____
Signature	Date