

Job Description

Job title:	New Client Administrator
Reporting to:	Client Servicing Team Leader (Wealth Management)
Date of issue:	Sept 2023

Role Objective

Provide exceptional administration service to our new clients, ensuring they are onboarded successfully and efficiently, in line with agreed service levels and standards.

Role Duties and Responsibilities

- To onboard new clients from first appointment through to business processing and completion.
- Conduct all client and third-party interactions professionally and in line with company policy and procedures.
- Undertake Anti Money Laundering and identity checks on new clients.
- Ensure client and plan records are created and maintained on our systems accurately and updated on a timely basis in line with procedures, Data Protection Policy and SLAs.
- Process all forms of new business including complex cases involving trusts and corporate entities.
- Arrange client meetings where required.
- Process new client packs received from advisers, where required: Adding the fact find onto the back-office system, creating skeleton plans, and submitting LOAs and policy information requests to providers.
- Generate invoices and fee expectation in line with the finance process.
- If required assist the adviser with the preparation of the new client documentation.
- Liaise and support the Adviser regarding submission of the suitability report request.
- Liaise with Client Research team regarding progress on report production, updating the back-office system with relevant information.
- Conduct client handover meeting with the Client Servicing administrator and adviser.

All Department Duties & Responsibilities

- Always be flexible to work across all propositions as needed and provide a one team approach.
- Prioritise any action or query related to missing information in a speedy and efficient manner in accordance with request from the financial planner or colleague.
- Ensure all key administrative tasks are carried out within set deadlines to a high standard of excellence and accuracy, understanding the impact to the business if not adhered to.
- Conduct personal learning, training, and assessment exercises in accordance with your individual T&C plans, demonstrating competence in relevant FCA compliance areas.
- Report any potential breaches, including weaknesses in current systems to our Compliance Officer/Managing Director.
- Ensure personal data (client and employee) is securely held and properly utilised in accordance with the principles of Data Protection Act.
- Handle any complaints in accordance with company procedures and regulatory requirements and ensure compliance with the Data Protection Act, Employee Handbook and any other guidance which forms part of the day to day role.

- Report to your Manager any wrongdoing by the company or our employees which fall short of the Whistle blowing business principles.

Person Specification

Education, Qualifications & Training

- CII L3 Certificate in Financial Services (Desirable)

Knowledge and experience

- Good knowledge of Investments, Pensions, Personal Tax, Estate Planning and Protection; (Mortgages and Equity Release where applicable).
- Ability to performance basic tax calculations.
- Ability to communicate clearly and concisely, both verbally and in writing, providing coaching, feedback, and guidance to support others.
- Ability to manage workload effectively.
- Experience in the advisory sector in an administration role.

IT Skills

- Competent at using MS Office applications such as Word, Excel, and Outlook.
- Experience in using financial services back office systems to perform role and manage client data efficiently and consistently in line with internal processes.

Other

- Full understanding of Data Protection and Anti Money Laundering procedures. Understanding of how the Financial Services Industry is regulated and disclosure requirements. Understanding of regulated complaints and the role of the FOS. Completion of mandatory internal training.
- Competent at following internal processes and procedures and can act on initiative to resolve non-standard issues, seeking support where relevant.

CST Tier Structure

- CST Tier – 3
- Flexible working – 3 to 4 days in the office