oaklands
WEALTH MANAGEMENT

STRAIGHT TALKING, SOUND ADVICE

INDEPENDENT FINANCIAL ADVICE
Oaklands Wealth Management Ltd
12A Duke Street, Sutton Coldfield
West Midlands B72 1RJ
t: 0121 355 4455
e: info@oaklandswealth.com
www.oaklandswealth.com

JOB SPECIFICATION	**Client Services Administrator** **Client Services Administrator & Paraplanner**
COMPANY	Wealth management, providing independent financial advice to individuals and families.
LOCATION	Offices in Sutton Coldfield
JOB PURPOSE	To work within a small team to carry out pensions and investment administration for clients, to the highest standards
RESPONSIBLE TO	Client Services Manager
RESPONSIBLE FOR	No staff responsibilities
SPECIFIC RESPONSIBILITIES AND ACTIVITIES	
Administration	

1. Prioritising and carrying out all pre and post sales administration on pensions and investment business to ensure optimum workflow using software including Plum, Iress, Financial Express, MSOffice, Outlook and Excel.
2. Preparing client review packs and financial summaries of investments for client meetings.
3. Keeping accurate daily records on the progress of client cases to monitor against target times and appraise other team members of what is required to complete client cases.
4. Sending out and chasing client letters of authority, and chasing product providers for responses on client policy submissions, challenging timescales where necessary.
5. Ensuring that Financial Advisers have all information they need in a timely fashion for client meetings.
6. Providing information on the company's services to clients enquiring in any form, including promoting the company's services to enquirers by telephone, email or in person.
7. Diarising client reviews, checking forthcoming reviews and arranging client appointments.
8. Providing daily progress updates within the team and weekly reports to the Managing Director and the team at workflow meetings.
9. Obtaining telephone valuations and other information required for client reviews.
10. Maintaining the company database and other software systems using paperless technology and the company's document filing protocols.
11. Working collaboratively with other members of staff to prioritise work according to timeliness and profitability and agree on the split of tasks to ensure a continuity of workflow.
12. Answering enquiries via telephone, e-mail, and website and taking appropriate action.
13. Preparing and keeping up to date client files and all company spreadsheets, with accurate file notes in accordance with the company's agreed processes.
14. Recording new administrative and sales support processes and training other staff where you have initiated a new procedure or process.
15. Contributing to the continuous improvement of administrative processes, updating standard documents, and contributing to documents required for ISO 22222 and BS 8577 inspections.

Continued...

KEY COMPETENCES

Skills: Administrator role

- In-depth working knowledge of pensions and investments terminology, processes and legislation.
- Highly computer literate with knowledge of MS Word, Excel and Outlook with the ability to pick up Plum, Iress and Financial Express skills and other software systems adopted by the company.
- Excellent numeracy with the ability to undertake complex calculations on client portfolios.
- First class level of accuracy in interpreting client and company correspondence to decide on appropriate action and crosschecking information prior to submission to product providers and clients.
- Well-developed interpersonal skills. Ability to get on with everyone while being strong with product providers and suppliers to get our clients the best possible service.
- Receptive to instruction and training with the ability to learn swiftly and grow through self-study and continuous professional development.

Qualifications: Administrator role

- Already has, or is prepared to work toward, a Certificate in Financial Planning or other qualifications deemed appropriate for the role.
- Good general level of education with an excellent standard of written and spoken English and numerical capability. 5 GCSE Grade Cs or above preferred including passes in English Language and Mathematics.

Qualifications: Administration & Paraplanning role

- A minimum of Financial Planning Certificate (FP3/CF5).
- Preferably working towards a level 4 Diploma or equivalent qualification.

Skills: Paraplanning and Compliance

- Drafting and issuing of client suitability reports within prescribed timeframes, for pensions and investments including group schemes, SIPPs and complex investment portfolios.
- Compliance checks on client files in consultation with Client Services Manager and the company's compliance consultants.

Personal Qualities: The following are all essential qualities

- Resilience to work alone and with initiative, while also being a strong team player to share tasks and work in a collaborative way that meets business priorities.
- Ability to learn and take instruction and direction from the other staff and Directors
- Good judgement is required on when to take decisions and when to refer to management.
- A calm but persistent attitude when dealing with product providers and suppliers and must be friendly and efficient to clients at all times with a professional telephone manner.
- High attention to detail required analysing and questioning financial data and documents and working with others in the team to quality check information.
- A sense of urgency to complete tasks and effectively prioritise all live cases, keeping a sensible balance between planned review work and new business.
- An eagerness to contribute to the continuous improvement of the company's processes and procedures to optimise service quality and profitability.
- An interest in sharing knowledge amongst the team for the benefit of serving clients and improving company processes.
- A sense of humour and being a positive source of energy within the office.

Continued...

Prepared by
Giles Blackburn BA(Hons) MSocSci – Business Development Director Sharon Gilbert DipPFS – Client Services Manager