Protect and grow your wealth

Job Description – Associate

Job Title:	Associate
Department:	Adviser Support

Job Description:	▪ Adherence to Management Systems & Controls ▪ Effective Communication & Support ▪ Adviser Support ▪ Client Support ▪ Annual Reviews ▪ Client Left Agency, Deceased Client Procedure, Change of Agency & LOA procedures ▪ New Business/ Surrender / Fund Switch Procedures ▪ General Form Processing & Client Instructions ▪ Maintain Intelliflo

Adherence to Management Systems & Controls

- Maintain an up to date knowledge of company policies and procedures
- Ensure timely execution of client instructions, cheques, contract notes and policy documents (when applicable)
- Work with colleagues to ensure adherence to company procedures and standards
- Refer all client complaints and concerns promptly to your manager, the adviser and the compliance officer
- Ensure shared working area is kept up to date and all client documents are saved on the X drive when finalised
- Maintain records according to the company standard

Effective Communication & Support

- Communicate with colleagues, clients and product providers in a professional manner, using appropriate business language and correct grammar
- Attend regular operations meeting to discuss ongoing work and raise any queries
- Assist other support staff when needed and when there is capacity to do so

Adviser Support

- Personal support to the adviser
- Monitor and manage the adviser's diary
- Deal with all bespoke adviser queries and requests
- Monitor the adviser's opportunities on a weekly basis
- Open post daily and pass to other support staff
- Prepare meeting packs
- Assist with mail merge exercises

Client Support

- Act as a point of contact for the client in the adviser's absence and deal with client queries
- Book all client meetings including annual review meetings
- Meet and greet all clients

Annual Reviews

- Check all client related compliance and AML documents are certified and valid
- Run the electronic AML check and save to the X drive
- Prepare review packs, obtaining portfolio valuation report from Business Support and send in the post to the client when applicable

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Change of Agency & LOA Procedures

- Process change of agency & LOAs as per the adviser instruction form, via Intelliflo and using Intelliflo workflows
- Add plans to Intelliflo following receipt of LOA confirmation from provider
- Pass policy information to the Adviser / Paraplanner

Client Left Agency & Deceased Client Procedure

- Process via Intelliflo and using Intelliflo workflows
- Submit all forms and letters of instruction to product providers
- Communicate with product providers to track status of procedures
- Keep the adviser and client informed of progress of application through to completion

New Business/ Surrender / Fund Switch Procedures

- Carry out all pre submission checks for compliance and AML documents ensuring valid and certified where applicable
- Submit to Business Processing Team all New Business Submission Sheets and Adviser Instruction Forms

General Form Processing & Client Instructions

- Submit forms to product providers in relation to deed of assignment, change of address – non business processing forms
- Process via Intelliflo and using Intelliflo tasks and workflows
- Communicate with product providers to track status
- Keep the adviser and client informed of submission through to completion

Maintain Intelliflo

- Use common tasks, workflows and lifecycles within Intelliflo for all client and plan related activity
- Add new Leads and Clients onto Intelliflo
- Keep client details up to date
- Input Fact Find Information into Intelliflo and keep updated
- Update compliance document record within Intelliflo