



## **JOB TITLE: WEALTH PLANNING OPERATIONS**

## **REPORTS TO: HEAD OF WEALTH PLANNING OPERATIONS**

---

Kingswood Holdings Limited (trading as Kingswood) is an AIM-listed integrated wealth management group, with more than 16,000 active clients and c. £6.1 billion of Assets under Management. It has a growing network of offices across the UK as well as offices in New York and Johannesburg. Clients range from private individuals to some of the UK's largest universities. The Group's vision is to become a leading global provider of trusted wealth planning and investment management solutions to clients, underpinned by investment in people and innovation in technology to support our advisers and clients.

### **RESPONSIBILITIES**

#### **1. 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

#### **2. 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

#### **3. 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

#### **4. 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

#### **5. 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

- 
- 6. **Change of Agency & LOA Procedures**
  - Process change of agency & LOAs as per the adviser instruction form, via XPLAN and using XPLAN workflows
  - Add plans to XPLAN following receipt of LOA confirmation from provider
  - Pass policy information to the adviser / paraplanner
- 7. **Client Left Agency & Deceased Client Procedure**
  - Process via XPLAN and using XPLAN 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
- 8. **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
- 9. **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 XPLAN and using XPLAN tasks and workflows
  - Communicate with product providers to track status
  - Keep the adviser and client informed of submission through to completion
- 10. **Maintain XPLAN**
  - Use common tasks, workflows and lifecycles within XPLAN for all client and plan related activity
  - Add new Leads and Clients onto XPLAN
  - Keep client details up to date
  - Input Fact Find Information into XPLAN and keep updated
  - Update compliance document record within XPLAN

#### SKILLS AND EXPERIENCE

- Strong client service skills
- Excellent communication skills
- Strong Microsoft Office skills

Additional desirable experience:

- XPLAN experience

If you are interested, please send a CV to: [Linda.Tottem@Kingswood-Group.com](mailto:Linda.Tottem@Kingswood-Group.com)