JOB DESCRIPTION

JOB TITLE: **Administrator**

PURPOSE OF JOB:
To provide administrative support in all aspects of day-to-day running of the business and client servicing. To work closely with other team members to ensure smooth running of client administrative functions. This includes supporting the financial advisory function, new business processing, liaising with external providers regarding new and existing clients and maintenance of appropriate records and systems that demonstrate our compliance with all relevant standards.

REPORTS TO: Operations Director

DIRECT REPORTS: None

KEY RESPONSIBILITIES & ACCOUNTABILITIES

Client Administration

- Ensure timely and accurate delivery of all administrative components of client service outlined in relevant service propositions and agreements
- Create and maintain accurate client records on the back-office systems, platforms and any other IT systems that hold client data
- Open and maintain client files to the required compliance standards with all appropriate 'Know Your Client' information
- Prepare client documentation and correspondence pre and post meetings as per KMD's processes
- Send Letters of Authority and gather accurate information as per business process
- Assist with obtaining illustrations and application forms when needed
- Assist Client Managers in preparation and implementation of advice
- Liaison with client's other professional advisers, providing documents, data and information as and when required
- Check accuracy and completeness of new business documentation
- Ensure that all business applications are processed accurately, efficiently, in a compliant manner and follow the KMD Implementation Process
- Ensure all supporting documentation is maintained as per company procedures
- Regularly monitor and chase up progress on applications and other transactions with platforms/product providers/wrap providers with the aim of efficiently processing our clients' instructions and recommendations
- Produce accurate portfolio valuations, as necessary
- Assist with the servicing of fund top ups, withdrawals, switches and rebalances and ensure these are carried out accurately and within company timescales
- Provide a friendly and professional point of contact for clients and all third parties
- Support with answering incoming calls to Reception
- Communication with our clients by letter, email and phone to assist in the work we are carrying out for them
- Regularly update and maintain electronic filing systems, ensuring files are kept tidy, logically organised and compliant with relevant standards and regulatory requirements
- Enter data onto our CRM system, ensuring that it is current and accurate at all times
- Build and maintain a detailed knowledge and understanding of our record keeping requirements and document management

- Provision of ad-hoc data, analysis and reports as required by management or Client Managers
- Record fees
- Liaise with KMD's bookkeeper to assist with chasing outstanding fees and chasing third parties for information on client fees due
- Ensure all work is followed up promptly in line with company standards
- Follow appropriate ethical standards at all times

Client Reviews

- Assist Client Managers in preparation of client catch up and review meetings, if needed
- Prepare paperwork required for and following reviews, as per the KMD Annual Review Process
- Assist with implementation of agreed action points
- Ensure the back office and other systems are up-to-date with the latest information

Other

- Comply with the Financial Services Acts, the FCA Statements of Principles & Code of Practice, the FCA Conduct Rules and the relevant FCA rules at all times
- Comply with the relevant Compliance, Treating Customers Fairly (TCF), Training & Competence (T&C) and financial crime (anti-money laundering, data security, anti-bribery, fraud and corruption) procedures of the firm at all times
- Keep up-to-date with all relevant product, legislative and technical changes, as required
- Follow appropriate ethical standards within the firm at all times
- Ensure relevant CPD is maintained and recorded accurately
- Ensure all systems are kept up-to-date
- Support, maintain and update relevant office processes, procedures and policies
- Maintain all standards of performance as required by the firm
- To help train and oversee new joiners to the company during their induction period and beyond when your experience or knowledge is well placed to do so
- Open, scan, log and allocate incoming post when needed
- Assist the Directors with project work as and when needed
- Actively contribute to ideas and enhancements to the KMD Back Office & Portal software
- Other duties as directed by management
- The company will support you in a programme of qualifications if required

kmd
PRIVATE WEALTH MANAGEMENT

PERSONAL SPECIFICATION

Job Title: Administrator	
CRITERIA	**E or D**
KNOWLEDGE	
Microsoft Word, Excel and electronic diary management	E
Salesforce	D
Advanced Excel	D
Knowledge of Financial Services Products	E
Knowledge and deep use of platforms and their features	E
Knowledge of cash flow planning tools	D
SKILLS	
Interpersonal skills to develop and maintain client trust and inspire confidence	E
Interpersonal skills to develop and maintain trust and confidence with colleagues	E
Excellent communicator (both verbal and written)	E
Highly organised, methodical and disciplined	E
Shows initiative and takes personal responsibility for completing tasks	E
Adopts a positive attitude, willing to assist others when busy	E
Adopts a positive attitude, during periods of change and growth	E
Able to work within defined business processes	E
Able to work under pressure on occasions to achieve deadlines	E
Polite and pro-active in internal meetings including those with third parties	E
Excellent attention to detail	E
Ability to achieve agreed outcomes without supervision	E
Excellent ability to prioritise and plan workload	E
Evidence of correspondence raising and diary management	E
EXPERIENCE	
Minimum 2 years' experience working as an administrator	E
Minimum 2 years' working within a financial planning environment	E
Minimum 2 years' experience of using a wrap platform	E
QUALIFICATIONS	
Certificate in Financial Planning or equivalent	D
PFS R01 Financial services, regulation & ethics	D
CII LP2 Financial services products and solution	D

D = Desirable
E = Essential