KELLY WEALTH SERVICES

POSITION DESCRIPTION	
Position Title	**Client Service Officer (CSO)**
Reports to	General Manager
Position Overview	The full time Client Service Officer (CSO) role is responsible for client administration as well as providing support to the Senior Advisers and management.
Essential Qualifications & Experience	Demonstrated experience working in the financial services industry, particularly the financial planning or accounting sector. Preferred but not essential Strong understanding of financial concepts and structures with aspirations for working in wealth management long term. Strong computer skills, proven ability to meet deadlines, strong organisation, problem solving and communication skills and the ability to build relationships. Advanced experience with the MS365 suite. Completion of year 12.
Task Responsibilities	

Duties	The role is responsible for assisting Advisers in providing services to new and existing clients of the firm. Responsibilities will include:
	
	• Contact clients (as directed) to arrange meetings and follow up with them 24-72 hours prior to meetings to confirm their attendance.
	• Seek information from third parties such as the client's: accountant, lawyer, stockbroker, former advisers as instructed.
	• Seeking information from the ATO, ASIC, fund managers, super funds and other financial institutions as instructed.
	• Liaise with super funds to accurately obtain and record information on a client's account
	    o Liaise with fund managers regarding issues such as:
	        ▪ queries on client portfolios
	        ▪ ordering PDS documents
	• Ensure authorities for clients are updated as required, e.g. Authority to Access information from super funds, updated every 2 years.
	• Maintenance of the client database, client portfolios and product information held on Fin365 (Financial Planning Software).
	• Maintain client files and ensure financial documentation has been duly scanned, stored and filed in SharePoint.

	• Prepare basic Records of Advice (RoA's) as required. This includes preparation of reports, financial projections and calculations for use in client financial plans and reviews. • Generate and check the accuracy of reports generated from Fin365 as part of the client review process. • Ensure all investment transactions receive sign off prior to implementation. • Prepare all application forms and third party correspondence for new and existing clients subject to a briefing from the Adviser. • Implement investment recommendations for clients precisely and without delay. This requires the maintenance of activities to track work in progress. • Assisting all staff with queries in relation to clients of the firm. • Prepare client review reports as instructed by the Adviser.
Professional Development	Initial and ongoing training will be provided in the following areas as relevant: • Client administration platforms • Customer relationship management system – currently Fin365 • Use initiative in progressing your development. • Opportunity to specialise in an area of expertise, that may be beneficial to the firm (insurance, aged care, HNW etc.)
General	Provide support to clients, Partners and other team members as required. Adhere to all compliance needs and maintain any necessary accreditations. Proactively monitor job progress and take follow up action as required to improve efficiency and meet deadlines. Attend all team meetings and provide contributions where necessary. Contribute to creating improvements and efficiencies within the firm. Provide administrative support to the Planners including appointment scheduling and general office duties as required. General office administration and ad hoc tasks, and errands as required.

General Responsibilities and Expectations
• Be familiar with and adhere to KWS Policies and Procedures. • Be familiar with and always promote KWS values. • Communicate professionally with clients and colleagues and always maintain the highest level of confidentiality. • Build positive productive working relationships internally and externally, while possessing a positive and mature attitude to the role. • Demonstrate a commitment to efficiency and continued professional development by attending and actively participating in training, taking responsibility to seek self-development opportunities and keeping up to date with technical matter. • Conduct your business in compliance with ethical practices. • Monitor and adhere to procedures and workflow deadlines. • Attend/support relevant KWS related events • Follow all reasonable instructions of Managers and Partners

Agreement to this Position Description

I have read and understood this Position Description.

I understand that this document provides general information and that it may be altered at any time at the discretion of the Firm.

I agree to perform to the best of my ability and to deliver the responsibilities described in this Position Description, in accordance with Firm Policies and Procedures and all reasonable Manager and Partner directions.

Agreed by: ______________________ ______________________________ ______

Employee **Signature** **Date**

Signed on behalf of Kelly Wealth Services:

______________________ ______________________________ ______________

Name **Signature** **Date**