ADVISOR ONBOARDING

ADVISOR	
START DATE	

ADVISOR INFO, COMMUNICATIONS & SOFTWARE

1. OPERATIONAL INFORMATION

1.1.	List of product providers with which you have a distribution contract	
1.2.	All house & advisor codes at each of these product providers	
1.3.	Login details for the product providers' online portal or platform	
1.4.	Contact details of the product providers assigned distribution consultants	
1.5.	Contact details of providers' dedicated service centre (if applicable)	
1.6.	Login/setup details for advisor-hosted mailbox (eg. admin@advisor.co.za)	

2. COMMUNICATION METHODS **(indicate your order of preference)**

Email ☐ WhatsApp ☐ Telephone ☐ CRM/Task manager ☐

3. SOFTWARE & SYSTEMS

3.1.	Email & office suite software	
3.2.	Client Relationship Manager	
3.3.	Financial planning tool(s)	
3.4.	Task management software (if any)	
3.5.	KYC/CDD tool (if any)	
3.6.	E-signing application/software (if any)	
3.7.	Password keeper (if any)	
3.8.	Other necessary software & systems	

4. EMAIL HOSTING, OFFICE SOFTWARE & DIGITAL RECORDS REPOSITORIES

Microsoft Suite ☐ Google Suite ☐ Other ☐ I'm not sure ☐

IT Support provider	
Contact info	

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BUSINESS CLASSES, CLIENT SEGMENTS, WORKFLOWS & ACTIVE CASES

5. BUSINESS CLASSES

Risk insurance ☐ Investments ☐ ST Personal ☐ ST Commercial ☐

6. CLIENT SEGMENTATION & OFFERINGS

6.1. List of High, Mid & Low segmented clients

6.2. Specific service standards/requirements for each client segment

6.3. Communications with each client segment

7. PROCESSES AND PROCEDURES

7.1. Other staff & third parties

7.2. Expected response/turn-around times

7.3. Clients' language preference

7.4. Direct client contact

7.5. Compliance & document templates

7.6. Client Due Diligence & screenings

7.7. Client onboarding

7.8. FAIS- & advice compliance

7.9. Preferred investment platforms

7.10. Preferred funds

7.11. Preferred insurers (Risk & ST)

7.12. Preferred policy structuring & benefits

7.13. Standard fees & commissions

7.14. Comparative quotes &/or proposals

7.15. Servicing & amendments

7.16. Regular updates & feedback

7.17. Requests for outstandings

7.18. Escalations

7.19. Preparing for client meetings

7.20. Annual review process

7.21. Income review process

7.22. Fee renewal process

7.23. Instructions round-off/finalisation

7.24. Confirmation of product issue

7.25. Updates of business registers

7.26. Client offboarding/disintermediations

8. CURRENT CASES & ACTIONS

8.1. New risk insurance cases

8.2. Risk servicing cases

8.3. New investment cases

8.4. Investment transfer cases

8.5. New ST insurance cases

8.6. ST servicing cases

8.7. Contract detail amendments

8.8. Other administrative tasks