The Plan by Investors Group
Investors Group Financial Services Inc.

Responsibilities, Duties and Tasks

SEMINARS/CLIENT EVENTS

- Invitations
- Seminar Dates/Locations to RD
- Event Planning Coordination
- Mailings
- Referral Mailings
- RSVPs
- Print Seminar Inserts
- Prepare Seminar Packages
- Finalize Venue Logistics
- Seminar Registration
- Seminar Introduction
- Seminar Keynote
- Mailing List Removals
- Comment Card Calls
- Comment Card Data Entry
- Enter Meeting into Calendar
- Email Meeting Confirmation
- Report/Track Statistics
- Prospect Screening
- Confirm Meetings
- Book Meeting Rooms

PROSPECT MEETING

- Meet HV Prospects
- Meet Prospects
- Dictate Notes
- Nice Meeting You Email
- Edit and Log Notes
- Assign Tasks
- Cash Flow Request
- Arrange F/U Meeting
- Arrange Courier PickUp
- Photocopy Documents
- Review Courier Prospect Docs
- Create File
- Add Birthdays to Card Program
- Prospects to Marketing Planner
- Create PFP
- Approve Asset & Liability Worksheet
- Mail A&L Worksheet
- Log and Print PFP
- Prepare PFP Binder/Tabs
- Symphony
- Forms Management
- Welcome Letter/Gift
- Database Prospect to Client
- Prospects Not Proceeding

CLIENT MEETING

- File Strategy Reviews
- File Administrative Preparation
- Print Communication Log
- Print Statements
- Print Globe Investor
- Investment Summaries
- CPP Applications
- RESP Forms and Applications
- Greet Clients
- Meet HV Clients
- Meet Clients
- Dictate Notes
- Strategic Partner Conversations
- Edit and Log Notes
- Assign Tasks
- Communications to Lawyer/Accountant

TRANSACTIONS

- Transfers Paperwork and Send Out
- Transfer Fund Company Follow-Up
- Transfer Obstacles Discussion
- F/U on Missing Info/Forms
- Buys
- Sells
- Switches
- Fund Co. re: DSC/Maturities
- Asset Allocation
- PACS
- Confirmations
- KYC and Risk Scores
- Trade Reviews
- Filing
- Originals Mailings
- Tax Receipts
- Change of Address
- Consolidation of Group Numbers
- Sorting/Distributing Mail

SERVICING

- Incoming Portfolio/Insurance Calls
- Answer Incoming Adm. Calls
- Check voicemail
- Arrange Meetings
- Sync Calendars
- Book Meeting Rooms
- Confirm Meetings
- Review File for Opportunities
- Prepare/Mail Monthly Statements
- Cash Credit Reports
- Client Account View
- Online Deposits
- Client Correspondence
- Death and Estate Settlement
- Birthday Cards
- Holiday Cards
- Special Gifts
- Maintain Marketing Planner for Clients
- Article Mailings
- Fax Distribution
- Servicing Consultant File Transfers

INVESTMENT LOANS/RS LOANS

- Concept Meeting
- Proposal
- Forms Management
- Applications and Checklist
- Outstanding Requirements
- RD Approval
- HO Approval
- Solutions Banking Funding

GIFs AND SEG FUNDS

- Applications and Forms
- Options and Fees
- Submission and Follow-Up
- Fund Allocation

INSURANCE

- Illustrations
- Complete Application
- Replacement/Cancellation
- Order Medicals
- Underwriting
- Log Receipt of Application/Policy
- Placement Meeting
- Death Settlement
- Deposits
- Switches
- Change of Beneficiary/Ownership
- Change of Address
- Agent Online Access and Filing

MORTGAGES

- Application
- Renewals

ESTATE PLANNING

- Wills and Trusts Details
- Wills and Trusts Preparation
- Presentation of Wills to Clients
- Revisions of Wills and Trusts

INCORPORATION

- Details for Incorporation
- Obtain NOA for Corporation
- Print Corporate Year-End Statements
- BIN, Trading Resolution, T2s

BUSINESS MANAGEMENT

- Business Planning
- Track NBC and Commissions
- Staff Meetings
- Track Vacation and Paid Time Off
- Employee Handbook
- Benefits/Opt-Outs
- Performance Reviews/Self Assessments
- Hiring
- Terminations
- Staff Short-Term/Long-Term Leaves
- Staff Appreciation
- Compensation Reviews
- Training
- Supervise Roles & Responsibilities
- Assign Projects
- Tech Maintenance and Improvements
- Practice Credits
- Errors and Omissions
- Mutual Fund License
- Maintain Insurance License
- Client Complaints & Compliance
- Order & Maintain Stock
- Printer Maintenance
- Business Card Orders
- All Occassion Card Orders
- Card/Merchandise Orders
- Speciality Orders - Binders

REGION INVOLVEMENT

- Attend Region Meetings
- Attend Region Functions
- Conduct Region Proshops)

MARKETING (Outside of Seminars)

- Segmentation
- Referral Program
- Advertising Approvals
- Website
- Video, Podcast, Ezine

HEAD OFFICE/EXTERNAL OFFICES

- Attend Rewards Programs
- Registration for Conferences
- Travel Arrangements
- Media Requests