



Investment Management Onboarding

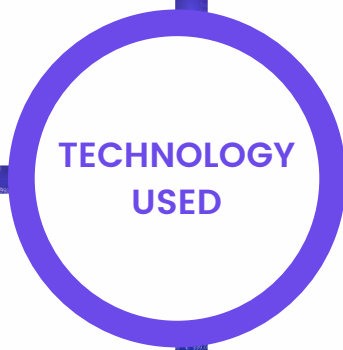
DESCRIPTION

In the world of wealth management, efficient client onboarding is crucial for building lasting relationships and ensuring smooth management of investment portfolios. Our Intelligent Automation Solution has been specifically designed to streamline the onboarding process for new clients, allowing wealth management firms to focus on delivering personalised investment strategies and exceptional service.

THE SOLUTION

The jaam automation Intelligent Automation Solution streamlines the client onboarding process by seamlessly capturing and validating all required information and documents needed to open new portfolios. The solution automates the entire workflow, routing tasks to the appropriate teams for data capture, reviews, approvals, and sign-offs.

The solution automatically generates essential portfolio documents and manages all client and internal correspondence, including emails and reminders. With real-time progress tracking, Portfolio Managers can monitor the onboarding process, ensuring transparency and prompt issue resolution. Additionally, the solution integrates smoothly with the existing CRM and portfolio management systems, keeping client data accurate and accessible across the organisation.



Process Automation and Document Generation
Nintex Automation Cloud



Business Analytics
Microsoft PowerBI



Core client and tracking data
SQL Azure



Document Storage
Microsoft OneDrive

BUSINESS BENEFITS



Reduced Time to Onboard

The automation of repetitive tasks and elimination of manual data entry significantly reduces the time required to onboard new clients, allowing wealth managers to start managing investment portfolios faster.



Enhanced Client Experience

A seamless, personalised onboarding experience sets the tone for a positive client relationship, leading to higher satisfaction and retention rates.



Improved Compliance & Risk Management

Automated compliance checks and data verification reduce the risk of non-compliance and ensure that all client information is accurate and up to date.



Operational Efficiency

By automating the onboarding process, your firm can reallocate resources to more strategic tasks, improving overall operational efficiency and reducing costs.



Business Growth

Support the growth of customer acquisition without the overhead of managing all the additional flow of work into the business from the onboarding process.

WHY CHOOSE OUR SOLUTION



Tailored for Wealth Management

Unlike generic automation tools, our solution is specifically designed for the needs of wealth management firms, ensuring that every feature is aligned with industry best practices.



Scalable & Flexible

Whether you are onboarding a few high-net-worth individuals or a large number of retail clients, our solution scales to meet your firm's needs without compromising on performance or accuracy.



Ongoing Support & Updates

Our team provides continuous support and regularly updates the solution to adapt to changing regulations and industry trends, ensuring that your firm remains compliant and competitive.











Compliance



Support adherence to and evidencing for consumer duty act regulation

If you'd like a deeper dive into the jaam automation solution for Investment Management Onboarding, access the technical details on the next page...

TECHNICAL DETAILS

AREA	ITEM	DESCRIPTION
<p>CORE TECHNOLOGY</p>	 <p>Nintex Automation Cloud (NAC)</p>	<p>NAC workflows, forms and document generation are used for the process of capturing and actioning data required for client onboarding, based on the product type requested by the prospective client. All processes are initiated by Portfolio Managers who capture basic information about the prospective client and the requested product type. After initial internal reviews and actions, tasks are created for the client(s) and other relevant third parties such as client Financial Advisers. At this point, additional data is requested about the client, for instance their tax circumstances and nationality, investor profile, investment mandate and so forth.</p> <p>Once all required information has been submitted, NAC DocGen automatically generates up to 20 separate documents which are all stored in the client instance folder in One Drive. Final approvals, actions and checks are carried out by company employees before the process terminates.</p> <p>The solution integrates with external systems like Azure SQL, Microsoft One Drive and Entra ID. Power BI provides dashboards, reports and data analytics.</p>
<p>INTEGRATED PLATFORMS</p>	 <p>Onedrive</p>	<p>One Drive is used to store all DocGen templates. A custom folder is automatically created for each workflow instance and is used to store all documents generated and uploaded during the workflow.</p>
	 <p>Azure SQL</p>	<p>Azure SQL database tables are used as a static data source for NAC Form lookup data e.g lists of Countries, Bond Providers, ISA Advisers etc.</p> <p>Additionally, some form and workflow data is written to an audit table at various stages of the workflow process. This data is used as a data source for reporting and analytics.</p>

AREA	ITEM	DESCRIPTION
	 Entra	<p>Some workflow forms use an Entra ID data source for looking up lists of employees belonging to specific Entra Groups e.g. Portfolio Managers, Team Assistants etc. This data is used for task assignments and notifications throughout the workflow process.</p>
	 Power BI	<p>Power BI is used to provide an employee dashboard for reporting and analytics on the status of the workflow processes and regulatory compliance information.</p>
	 Power Automate	<p>Power Automate is used to send emails out to clients from the relevant organisational email addresses instead of the technology system address.</p>
NEXT TO PLATFORMS	 Client Portal	<p>Clients log-in to the company portal in order to access any tasks which have been allocated to them for completion so they have one place to go for all their interactions.</p>
TECHNICAL FEATURES	 NAC Forms	<p>Forms are used by employees, clients and third parties to capture, action and approve data specific to each client to be onboarded and their requested product type. All client and third party forms have anonymous access enabled but task recipients can only access these tasks via the company customer portal after authentication. These forms have custom functionality allowing the form data to be saved and returned to later.</p>

AREA	ITEM	DESCRIPTION
	 <p data-bbox="533 549 665 608">NAC Workflow</p>	<p data-bbox="864 320 2011 379">The workflows manage the process of capturing onboarding data about a client who has requested a specific product type offered by the Investment Management company.</p> <p data-bbox="864 389 2011 480">The workflow assigns tasks to company employees who will capture data about the client and the requested product, complete specific external tasks like setting up client portal access permissions or approving specific actions.</p> <p data-bbox="864 489 2011 549">Tasks are also assigned to the client, as well as other parties like Financial Advisers, additional document signers etc. Clients are required to complete a questionnaire specific to each request type. Once the questionnaire is completed and signed by all required parties, this data is then used to generate several different documents which are uploaded to a client specific folder in One Drive.</p> <p data-bbox="864 558 2024 687">At all stages of the workflow process, audit data is written to an Azure SQL database which is then used for reporting and analytics.</p>
	 <p data-bbox="506 1227 692 1251">NAC Doc Gen</p>	<p data-bbox="864 1038 1984 1168">For each instance of the workflow there are several documents which are generated, dependent on the product type and other captured data. These document types range from standard industry specific documents like Fee Schedules, Tax Declarations and Transfer Agreements to documents used for data audit purposes.</p> <p data-bbox="864 1177 1507 1201">All documents are saved to a request folder in One Drive.</p> <p data-bbox="864 1211 1939 1270">Some documents are automatically sent via email to customers and other parties like Financial Advisers etc.</p>



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