



2plan wealth management services

Giving you the edge



Our Philosophy

2plan wealth management aims to be one of the UK's leading financial networks.

The 2plan wealth management network proposition is designed to provide client-led professional financial advice, backed up by the highest quality service and support.

We can advise on products across the whole marketplace and we act solely in the best interests of our clients at all times. We do not act on behalf of any product provider, bank or insurance company.

Our focus is to bring together the best of breed in adviser firms to provide financial planning and wealth management for private investors and businesses across the UK. Our strategy is built on giving our advisers structured technology-based processes, creating maximum cost efficiency and minimal administrative burden. Using a bespoke, modular advice process, we provide a robust and compliant business model offering the highest commitment to client service standards.

Our philosophy is always to ensure that the client experience is paramount, and our firms pride themselves on building trusted and lasting long-term relationships.

2plan wealth management provides the tools and expertise, support and services so every member firms can conduct business in a safe environment, whilst also giving specialist advice and help throughout the advice process, according to the individual needs of every client.

“Everyone is pulling in the same direction, and it's fantastic to be part of”

– Anthony Wade



Meet The Team

Chris Smallwood, *CEO*

Chris co-founded 2plan Wealth Management in 2006 and since then has sat at the forefront of one of the UK's most exciting wealth management companies.

Chris is responsible for strategic development and growth of the business, leading the management team, and the overall profile and brand of the company.

Nick Hewitt, *Finance Director*

Nick is responsible for the finance and legal functions with the company and has been with 2plan since its inception in 2006.

He oversees finance and statutory reporting, legal and human resources as well making sure our advisers are paid daily.

Mark Smith, *IT Director*

Mark is responsible for the overall IT strategy and systems implemented within the 2plan group and has been with 2plan since its inception in 2006.

Mark drives ambitious IT plans that continue to shape a resilient 2plan for the future.

Paul Saville, *Head Of Regulation*

Paul joined 2plan in 2008 and today is responsible for quality assurance, policies and procedures, and risk management.

Having worked in financial services since 1996, he also manages the 2plan training and competence framework and he monitors advice outcomes to ensure quality standards and compliance.

James Marshall, *Head Of Business Growth & Recruitment*

James joined 2plan in 2011 and today as part of the senior team he is the friendly face of the company for financial advisers looking to join the 2plan brand.

James makes sure financial advisers have everything they need including the 2plan market-leading IT solutions, marketing materials, administrative back-up, regulatory and compliance support.

Meet more of our team at www.2plan.com/meet-the-team

James Marshall speaking at a 2plan National Conference



Joining and Working With 2plan wealth management

The Edge – What Makes Us Different?

2plan wealth management strives to set new standards for our industry. We aim to always be the first of a whole new breed of service-led organisations, focused on empowering adviser firms to do what they are best at with maximum support and minimum risk. Our approach gives us ‘the edge’ and it is a powerful and compelling reason why we are building a network representing the very best of the UK’s professional adviser community.

We are operating in a rapidly evolving and highly regulated world where the regulatory authorities will continue to put pressure on adviser firms, both large and small. We have also seen costs continue to escalate which has resulted in some banks deciding to close their distribution arms, leaving many consumers wondering where to seek financial advice.

This leaves a critical gap and presents an opportunity to develop high quality, seamlessly regulated firms and to give the consumer greater understanding and appreciation of the value in seeking professional financial advice.

We have invested significantly in bespoke in house systems that are exclusive to us and that raise the game of the financial services industry.

“The team have been stunning this last year, how you have rolled out market leading systems with no fuss and no problems I still can’t believe it!”

– Wayne Griffiths, One Financial Solutions

Services & Support Summary



Training

Webinars, meetings and induction training.



Client Management

Personal client agreements, transitioning support.



Research

Investment, product and provider research.



Marketing Support

Brand development, newsletters, PR and design.



Technology

Software services, website support, training and e-commissions.



Financial Service Academy

Allows non industry individuals to gain Diploma Level 4 qualifications.



Compliance & Regulatory Services

Training & Competence Scheme, case checking, regulatory updates.

“The systems enable you to keep closely in touch with your clients, whilst saving time and enabling an all round better service.”

– Graham Thompson, Wolds Financial Planning

Regulatory Overview

2plan wealth management provides effective and efficient supervisor support. The 2plan wealth management training and competence scheme provides core support and can also be tailored to meet an adviser's individual training needs.

We use technology to maximise the time you have available for training without the need for any party to travel to offsite locations.

121s are completed remotely thus avoiding the need to take time out of an adviser's day to host a meeting at a local office.

We will support your progress from the date of joining and will deliver focused support to ensure you are up and running with 2plan wealth management processes as quickly as possible. We run follow up training courses where there is a need and the overall scheme is supported by a range of ongoing references and support.

Our aim is for you to start writing business as quickly as possible upon joining 2plan wealth management and to keep writing that business as safely and efficiently as you can whilst you are with us.



Technology

At 2plan wealth management we understand that technology is the essential enabler and lifeline to achieving maximum efficiency without compromising service levels.

At 2plan wealth management we understand that technology is an important enabler to achieving this. We know that choosing the right systems can be a daunting and confusing prospect; which is why we do all the hard work for you. By investing in industry leading software which we continue to develop, we arm advisers with the correct tools for success from the moment they join us.

The virtualised system allows for infinite expandability and future proofs every part of the system, whilst also protecting the company in the event of disaster recovery to ensure business continuity.

As we operate a consistent, paperless office environment, this leads to greater efficiencies, compliance, and a standardisation of all processes, for a true 2plan wealth management 'community' – as well as doing our bit for the planet of course.

We believe our solution is not only the most comprehensive on offer from a network but also provides the most regulatory-led and secure proposition to support your business for the future.

Online Fee and Commission Checking

2plan wealth management's advanced systems are electronically linked to product providers where we receive information such as fee and commission statements and the transfer of funds electronically.

This information is matched to the e-business submissions and paid directly to your nominated bank accounts, so there is no such thing as tedious month end cut-offs, or periodic set payment dates which can interrupt your cash flow.

Now you can receive payments via your chosen remuneration method as soon as 2plan wealth management receives the funds and statements from the providers, or the fees from the client.

Novation

When a firm leaves one organisation for another, we believe they should be free to offer their clients a seamless transition, with ongoing service and minimal disruption.

Here at 2plan we aim to make the process as easy as possible, for the benefit of all parties concerned.

We respect the relationship between client and adviser, and will ultimately do everything necessary to protect that relationship. We also have specialist technology in place to assist the 'transfer of servicing' (TOS) process – for advisers joining us from other organisations or, where allowed, we will support a novation process.

"The fact that neither myself nor my clients have experienced any disruption during the pandemic is testament to the work that 2plan have done behind the scenes."

– Luke Fernquest, Fernquest Financial Planning

Marketing Services

Strong Parent Brand

The consumer must be comfortable in the knowledge that their adviser is part of a stable, regulated company that has substantial support behind it in case anything goes wrong.

By using the collective power of the 2plan wealth management brand alongside your own brand, we instil this confidence, reassuring clients that we are a trusted firm of financial advisers, synonymous with providing a top class service.

We build a true brand and create real value, empowering our advisers to market themselves in a professional manner.

Our knowledge and experience of building a brand may also be a valuable asset for your firm to tap into and consequently we provide network members with access to a team of specialist resources. Whether you plan to launch a new business development campaign; design a new corporate image; do some local PR or simply get some advice, we have access to specialist external resources.

Compliance and Client Management Services

Personal Client Agreements - the PCA programme

The 2plan wealth management Personal Client Agreement (PCA) is a market leading tool designed to provide really clear, easy to understand information on a range of tailored fee/cost options.

The 2plan Personal Client Agreement was the outcome of months of work. We worked with fee charging firms, consultants, the Personal Investment Management & Financial Advice Association (PIMFA) and conducted independent consumer research together with ongoing discussions with advisers and how their businesses will be structured in the future.

Such simplicity continues to support strong client relationships and our open and transparent method of working to ensure there are no hidden surprises.

Case Checking

When you first join 2plan wealth management there is a great deal to know about how we work and the ways we can support you.

We insist that your client files are of the highest standard and we check a high percentage of your business. Whilst you are still learning how to work with 2plan wealth management processes we provide a dedicated onboarding team to assist with regulatory, system and processes. Your nominated T & C Supervisor will assist you and your team with your transition ensuring you soon become familiar with the 2plan business standards and method of working.

Regulatory & Financial Planning Guidance

2plan wealth management provides a comprehensive library of regulatory and financial planning guidance in order to share our procedures and guidance with our advisers. These are regularly updated and published on our member extranet.

All forms that are required as part of the pre-approval process can be found in the compliance library together with guidance on how to complete and standards expected.

Easy to use template suitability letters are also provided for more complex products and scenarios.

Training and Development

Induction Training

As part of the initial 2plan wealth management assessment we will complete our induction training programme, which works well both virtually or in person.

As part of this we introduce you to the 2plan systems, and we assess your knowledge and competence against our rigorous advisers standards.

On the induction week advisers have the opportunity to explore and get to know our systems, process, culture and people.

Upon successful completion of the induction programme, we officially welcome new members to 2plan as we begin an exciting new journey alongside them.

“Systems are good. Support staff are accessible. There’s a grown up, common sense attitude to things rather than corporate decisions made by people who manage from a spreadsheet.”

– Andrew Mawbey, Explore Money Limited

More Training Support

We have a series of training resources published and stored in our dedicated learning centre.

We have videos and guides which show step-by-step how to work with a range of 2plan wealth management processes, and you have continued support from dedicated teams across the business.



Development Workshops

To support you out in the field, we regularly host virtual development workshops covering a wide array of subjects. As well as providing an opportunity to embed knowledge both technical and sales, they also provide a good opportunity to network with other advisers. Post Covid we will host Network Meetings to enable you and your advisers to interact with other 2plan advisers.



Research

2plan wealth management uses third party research providers to provide external input into our range of investment solutions. We have built our own risk profiling tool alongside this, to ensure advisers have a leading 'belt and braces' system and robust processes so they can deliver the very best in tailored advice to clients.

The way we access research saves advisers time and ensures everyone benefits from the very best in up to date external input.

For advisers, our research methods take the worry out of having to manually choose stocks and funds.

For their clients, they can rest assured they are getting solid advice, mapped closely to their attitude to risk, individual situation, and financial goals.

Conclusion

The 2plan wealth management network has been created based largely on the unique ethos and strategy of its national predecessor – a multi-award winning firm.

With the same impressive technology, management and experienced teams heading up the network, you can now share in this success. We will provide you with all the tools and services needed to empower your firm to achieve equally significant results, within a motivating and safe environment to secure your future growth.

We are living through turbulent and uncertain times. 2plan wealth management intends to set new standards for our industry. We aim to always be outstanding in what we do and to enable adviser firms to do what they are best at with maximum support and minimum risk.

2plan is an organisation that represents the very best of the UK's professional adviser community.

We believe 2plan wealth management really does have 'the edge' and we hope that you will enjoy being part of a whole new type of adviser network – one which supports your individuality and gives you all the experience and equipment needed to not only survive and comply, but to prosper in the new and very challenging era ahead.



To find out more, why not take a look at our website www.2plan.com or you can call us on 0113 302 1360 or email membership@2plan.com We can also be found on LinkedIn, Twitter and Facebook

*“Without doubt the support from
2plan is simply head and shoulders
above my previous networks in all areas..”*

– Raj Bouri



