

Position Description

Title: Client Services Associate

Reports to: Client Services Manager

Benefits: Medical, Dental, Vision, Life, FSA, 401(k), Paid-Time Off, Paid Holidays

Classification: Salaried Exempt

Job Summary

The Client Services Associate (CSA) will work in an advisor-focused environment assisting Advisors in servicing the needs of their clients. The CSA provides non-advice-related support to advisors and clients. This position will fully support advisors in all aspects of servicing their book of business; including but not limited to: back office assistance, client support, account opening, custodian interaction and NIGO resolution, billing review, quarterly reports, among other administrative task.

Duties and Responsibilities

The Client Services Associate can expect to focus in the following areas:

- Prepare and track account opening and transfer documents.
- Maintain a timely follow up and communication system to keep advisors updated on task progress.
- Organize and execute service calendar in order to ensure client RMDs, beneficiary review, IPS update, suitability updates, profile updates are done on time.
- Track and submit wires, ACH, check request, etc.
- Custodian interaction and consistent follow up.
- Execute security trading and rebalancing as directed by advisor.
- Review quarterly billing reports with advisor.
- Proactive Outlook calendar/schedule maintenance.
- Prepares appropriate materials for meetings, appointments and presentations.
- Other responsibilities as assigned.

Requirements and Qualifications

- Bachelor's degree from an accredited college or university.
- Series 65 license required.
- Minimum 5 years investment management industry experience.
- Solid strategic thinker and problem solver.
- Strong organizational and project coordination skills with the ability and experience to handle and prioritize multiple assignments and conflicting deadlines, while providing a high level of client service.
- Ability to work effectively under pressure with tight deadlines, with attention to detail, and the ability to handle conflict and negotiate resolution.
- Ability to be responsible for confidential and time sensitive material.
- Proficiency with windows-based software (e.g. Word, Excel, and PowerPoint) and Outlook is required.
- Excellent written and verbal communication skills – clear, concise and organized.
- Ability to work in a team-based environment, proactively covering and sharing task responsibilities with other team members.
- Be self-motivated, show initiative and creativity in all aspects of work (e.g. creating new methods to streamline tasks).
- Work independently with little supervision and knows when to ask for guidance, clarification, assistance.
- Possess a high level of professionalism, confidentiality, discretion and judgment.
- Solid strategic thinker and problem solver
- Excellent communication skills
- Team player, with strong coaching and listening skills
- Desire/ability to work successfully in a small company environment