

Position Description

Title: Operations Associate

Reports to: Client Services Manager

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

Job Summary

The Operations Associate will assist the Operations department with various administrative tasks, onboardings, and procedures. The candidate will also work closely with Client Services Associates and advisors to ensure all work is thoroughly completed with minimal errors. This position will use a variety of computer programs including CRM, Microsoft Office, and custodian platforms.

Duties and Responsibilities

The Operations Associate can expect to focus in the following areas:

- Assists Operations department and back office staff with various tasks
- Scanning, faxing and filing of paperwork
- Prefilling documents and completing DocuSigns
- Paperwork processing and follow-up
- Renaming, filing and processing paperwork daily.
- Escalate issues or complex tasks to appropriate personnel
- Assist with onboarding new advisors and clients
- Maintain all client and advisor files in orderly manner
- Perform data entry tasks
- Answer telephone calls
- Follow operational procedures
- Other duties as assigned

Requirements and Qualifications

- Bachelor's degree from an accredited college or university.
- Investment management industry experience preferred. Particularly in an advisor support role.
- Securities Industry Exam, required 6 months following date of hire
- 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.
- Team player, with strong coaching and listening skills
- Desire/ability to work successfully in a small company environment



