<u>Job Description:</u>
Job Title: Client Operations Specialist

<u>Position Summary</u>:
The **Operations Specialist** takes direction from the *Advisor and/or the Client Relationship Manager (CRM)* to ensure the client has a superior experience. This includes being responsible for the client on-boarding process and supporting documentation to successfully establish investment accounts and prepare for the ongoing relationship.
The *Operations Specialist*, *Client Relationship Manager* and *Advisor* function as a team to provide high levels of client satisfaction to meet or exceed agreed-to service standards and ensure client loyalty.

<u>Job Requirements</u>:
-Ensure the high-quality on-boarding of new clients or adding additional services (85%)
- Receive tasks from *Advisor and/or CRM* after client meetings/phone calls to accurately complete account applications, asset transfer forms, beneficiary designations, move money forms, etc.
- Oversee and manage the asset transfer process. Establish rapport with custodial contacts to ensure timely and accurate completion of requests and resolve outstanding issues. Update the *Advisor/CRM* during the process and when all client assets have arrived in order for them to initiate investing.
- Ensure accounts are accurately established, client services are set up correctly and clearly communicated.
- Regularly update *Advisor/CRM* on status of tasks.
- Accurately complete life insurance and annuity applications and gain knowledge on different processes and products.

-Ensure proper record-keeping and adherence to policies and procedures (15%)
- Ensure Salesforce CRM and related workflow databases are updated accurately and on a timely basis.
- Ensure desk and online documentation are kept in good order including scanning and faxing client documentation
- Periodically review client data and files for completeness and accuracy
- Identify needed improvements and/or updates to policies, processes, and procedures. Work with all team members to ensure clear communication, understanding, and adherence.

<u>Education and Experience:</u>
- Bachelor’s Degree, business related (finance, accounting, or marketing, etc.) preferred
- Experience in working with LPL Financial, a Registered Investment Advisory Firm or a Wealth Management/Financial Planning Firm an added plus

<u>Skills and Knowledge:</u>
- Excellent verbal and written communication skills
- Excellent organization skills with attention to detail
- Must be process oriented and the ability to work in a faced paced growing environment
- Must demonstrate a desire for client service and have a sense of stewardship
- Strong working knowledge of Mac environment and Microsoft Office applications
- Working knowledge of Salesforce CRM preferred
- Basic knowledge of Excel