

Operations Associate – Wealth Management

Location: Walnut Creek, CA
Position: In Office
Employment Type: Full Time; Hours Flexible

We are a boutique wealth management firm, supporting a select group of clients and laser-focused on our service model. Our clients stay with us because of the incredible relationships we have and the care that they receive. We are a close team and support each other to achieve this mission! We need an experienced professional who is ready to help us continue to grow.

Our Operations Associate will be setting up new accounts, scheduling meetings, answering the phones along with many other things, while overall being a critical piece to the client experience. Being the primary operations person within our firm, tasks will include client-specific, account-specific, and general business functions. Outside of experience, you will have impeccable detail orientation abilities and an unwavering ability to figure things out, even with little to no direction. You're an administrative pro who wants to be more and do more. You're organized, tech savvy and able to work independently while thoroughly enjoying being part of a team. You're a go-getter when it comes to follow through and details rarely slip your grasp. You have an adept ability to prioritize and handle multiple tasks simultaneously and you take immense pride in your work.

ESSENTIAL RESPONSIBILITIES:

- Monitor and process client requests and prepare paperwork including, but not limited to, opening new accounts, closing accounts, beneficiary changes, transferring assets, deposits, withdrawals, account title changes, address changes, etc.
- Prepare documents, notes, reports, and presentation materials for client meetings and complete assigned follow up tasks post-meeting.
- Assist with preparing emails and presentations for new client/prospect meetings or classes.
- Follow up with clients verbally and in writing to obtain required information and complete necessary paperwork
- Perform general office management: supplies, mail processing, basic computer and technology support.
- Lead client record maintenance including contact information upkeep in database, documentation of phone calls and conversations.
- Generate various daily, weekly, monthly and annual financial and client reports and upload/send as necessary.
- Answer, screen, and route phone calls, assisting directly or taking messages as appropriate
- Serve as liaison between Advisor and Clients, broker-dealer, tax partners, industry/product providers
- Work on projects as assigned – lead research and make recommendations to Advisor
- Communicate with the broker/dealer, advisory firm and product firm contacts
- Organize time: schedule appointments, maintain calendar, coordinate internally and externally, as needed
- Maintain records, logs, and blotters
- Perform various miscellaneous tasks as assigned

QUALIFICATIONS:

- Minimum 2 years of operations or administrative experience in wealth management or financial services.
- Preferred CRM Software / Database experience (Example: Redtail, Constant Contact, OneHub, Salesforce, Etc.)
- Preferred Industry-specific software experience (Example: E-Money, RetireUp, NetX360, Envestnet, etc.)
- Preferred or willingness to pursue FINRA Securities licensing: SIE, Series 7, 66, 65 and/or 63)
- Advanced Technology Skills and use of MS Office (Outlook, Word, Power Point, Excel, Etc.)
- Highly organized, with an absolute attention to detail
- Excellent follow-through and communication regarding status of open items
- Client-first attitude: ability to interact with clients professionally and respond to clients in a timely manner
- Editing and writing skills to initiate, compose, format, proofread and carefully edit various documents
- Strong time management skills; ability to prioritize and coordinate multiple work assignments and deadlines efficiently despite frequent interruptions
- Excellent interpersonal and communication skills; ability to communicate in a pleasant, tactful and effective manner (both orally and in writing), and to handle difficult, sensitive issues
- Ability to analyze situations, define problems and/or objectives, identify relevant factors, formulate logical conclusions and suggest alternative solutions
- Ability to work independently and in a team environment
- Must be willing and able to complete a background and credit screening as an employee of a FINRA-regulated advisor; Final job offer is dependent on successful completion and approval by the broker/dealer firm.