Position Title: Senior Registered Client Service Associate
Location: New York, NY (Manhattan 7th Ave & W 34th St.)
Position: Hybrid – In office 3 days/week
Employment Type: Full Time
Hours: Monday-Friday; 9am-6pm

WALL STREET ALLIANCE GROUP
www.wallstreetag.com

Job Summary

The Senior Registered Client Service Associate focuses on delivering high-quality client service, account maintenance, and administrative support. Responsibilities include processing new account paperwork, maintaining accurate client records, and ensuring compliance with industry regulations. This role will manage routine client inquiries, assist with various operational tasks, and ensure a seamless and efficient client experience. This hybrid position requires in-office presence three days a week and involves regular interaction with internal and external contacts to provide and clarify information. Ideal for someone looking to grow within a supportive and dynamic environment, this role offers ample opportunities for professional development and career advancement.

About Us:

Wall Street Alliance Group is a nationally recognized wealth management firm headquartered in Manhattan, New York. The firm operates in a Fiduciary capacity serving high net worth clients. Wall Street Alliance Group has a team of advisors with expertise in areas such as Tax Planning, Estate Planning, Asset Protection, Portfolio Management, 401(k) plans, Defined Benefit plans, Special Needs planning, Physician Financial planning, and Trust services. Please visit www.wallstreetag.com.

Responsibilities:

- Helps in streamlining operational tasks and perform due diligence to reduce potential errors.
- Ensures required client paperwork is current with firm and industry requirements, rules, and regulations.
- Helps in opening new accounts paperwork and follow up on client documentation for proper maintenance of accounts.
- Helps managers in monitoring for any potential and ongoing issues, taking actions to clear back logs and escalating when required.
- Ensures CRM system is up to date with accurate information.
- Creates and maintains records and files.
- Interacts daily on the phone with existing clients including handling basic inquiries.
- Onboard and maintain client accounts, including collecting client information and required documentation, and processing money movement transactions.
- Provides technical assistance to clients with online account access.
- Coordinates directly with industry professionals including CPAs, Actuaries, Lawyers, etc. to provide customized client solutions.
- Works closely with operation manger and pension consultant in compliance requirement for ERISA plans such as 401k and Cash Balance Plan.
- Facilitate with Estate Planning Attorney and client meetings regarding establishing wills and trusts.
- Book travel arrangements when necessary

- Receives cross-training and assists with other operational functions as required.
- Performs other duties and responsibilities as assigned.

Qualifications:

- Minimum of 5 years financial services industry experience preferably within wealth management
- Retirement Plan Administration experience and knowledge of ERISA preferred
- Preferred or willingness to pursue: FINRA Series 7 or 66 (63 and 65) license
- Strong attention to detail, communication, problem-solving, and analytical skills
- Ability to multi-task under pressure, work independently, and work in a team environment
- Proficiency in Microsoft Office Suite (Word, Excel, PowerPoint, Outlook) and other office tools.
- Provide a high level of customer service.
- Analyzing to be able to research account information.
- Organize, manage, and track multiple detailed tasks and assignments with frequently changing priorities and deadlines in a fast-paced work environment.
- Handle stressful situations and provide a high level of customer service in a calm and professional manner.
- Use appropriate interpersonal styles and communicate effectively, both orally and in writing, with all organizational levels.
- Languages: Urdu, Punjabi, Gujrati and/or Hindi preferred

Additional Details:

- Annual salary of $100,000-$150,000 commensurate with experience
- Hybrid role, Minimum 3 days in the Manhattan office (7th Ave and W 34th St.)
- Benefit Eligible: Group health, vision dental plans, 401k retirement with employer contribution, Paid vacation, sick, and holiday hours
- Opportunities for professional growth and development; including continuing education.
- A supportive and inclusive work environment where your contributions are valued.