

Doyle & Associates

A financial advisory practice of Ameriprise Financial Services, Inc.

JOB DESCRIPTION

Position: Client Service Associate
Reports to: Chief Operating Officer
FLSA: Exempt

Position Summary includes all duties listed and any other duties as assigned:

Works with the Paraplanners primarily to support Financial Advisor (FA) or Associate Financial Advisor (AFA), utilizing the client relationship model & turnkey tools to assist & support the practice in building efficiencies. This position supports the servicing of clients through administrative tasks of research, applications, preparations and follow up work, and interacting with clients as needed to obtain current information or follow up on communications needing response. Provide general administrative/reception/operations support as needed in the branch.

Specific Duties are those listed below and any and all other duties as assigned:

- Prepare and execute forms to complete action items for all assigned tasks, including contacting client as needed, obtaining appropriate signatures, following up with home office if needed, tracking response, ACATS, uploading all to OFM.
- Process estate settlements
- Prepare Prep checklist for client meeting two weeks prior to client meeting and provide support to paraplanners for a portion of weekly meeting checklists preparations, including; agenda, meeting summary notes drafted into template and other as needed.
- Documenting trade recommendations for compliance purposes and store in OFM
- Ensure client frequency schedule is set for each client and assist paraplanners in reviewing/researching pre-set calendar in advance when needed.
- Research and prepare Insurance quotes/illustrations and applications, track LTC insurance
- Research trade frequency, Most recent meeting/phone call, Asset Allocation/Alignment for Paraplanner to complete SPS deliverables
- Help client establish Online Experience ability through eRegistration process and Total View, walking them through online access for files.
- Collect Compliance documents that need to be signed by client and/or advisor
- Provide general administrative duties such as answering the phone, covering front desk if needed, scanning, binding

Education Requirements including Licenses

Associate (2-year) degree, Bachelors degree preferred

Relevant Experience Required 2 to 5 years, or degree in Personal Financial Planning.

Desired ability to study for and acquire Series 7, 66 and Group 1

Key Traits of a Successful Client Service Associate

- Experience working in a client service environment.
- Detail orientated and ability to think ahead of potential scenarios/outcomes
- Good organization and time management skills, ability to prioritize effectively
- Able to independently work with minimal supervision.
- Effective communication with all levels within the organization, and clients.
- Process oriented and can work with a team.
- Strong computer and software skills.
- Polite and clear phone manner
- Ability to adhere to rules and regulations as stated and required by FA, Ameriprise Financial, FINRA and SEC
- Ability to support compliance requirements within the practice

- Positive attitude and sincere willingness to constantly learn and grow

Major Responsibilities

In order to fulfill his/her responsibilities, the Client Service Associate should expect to spend the amount of time on the following functions:

- 90% Paraplanner support for Client care / Business management, Client Digital Experience. Client preparation, follow-up, research and client interactions: Complete client objectives (TO DOs); help establish new clients by preparing forms, process all paperwork, file all compliance requirements, transfers, etc.
- 10% General office administrative duties

Supervisory Requirements

The position will receive moderate supervision from the COO and Paraplanners. Therefore the person in the position is expected to have the ability to quickly obtain the experience and knowledge necessary to perform his/her duties.

The position will not have supervisory responsibilities.

Additional Responsibilities

The position will have access to confidential information and will work in an industry requiring strict performance guidelines to ensure compliance of all activities.

The position requires fluency in English.

The position requires above average detail oriented and analytical skills.

Additional Skills

Must have above average skills in the following software programs:

- Microsoft Word
- Microsoft Excel
- Microsoft Powerpoint
- Outlook

Must have an above average ability to learn new software programs specific to the financial services industry and/or Ameriprise and Doyle & Associates. Examples include:

- Financial Planning software
- Morningstar
- Thompson One
- Salesforce
- Others as needed