# Doyle & Associates

A financial advisory practice of Ameriprise Financial Services, Inc.

JOB DESCRIPTION

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| Position: | Client Service Associate |
| Reports to: | Operations Director |
| FLSA: | Exempt |

**Position Summary includes all duties listed and any other duties as assigned:**
Step into an instrumental role. Help conduct the smooth operation of a fast-paced—and friendly—financial planning office. Work as an employee of an independent advisor franchisee with a financial advisory practice of Ameriprise Financial. Entry level position 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 serving clients. 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.

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

- Prepare and execute applications and other 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 applications, 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 Secure Site registration 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, etc.

**Education Requirements including Licenses**
Bachelors degree preferred
Relevant Experience Required **2 t**o 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% Client Service support for Client care including existing and new client applications, Client Digital Experience. Client preparation, account openings, follow-up, research and client interactions: Complete tasks as assigned; 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 OD 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