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**Operations Coordinator I**

**Ideal Candidate**

Experience in wealth management and financial advisory services with a passion for operational excellence

**General Requirements**

* Understand and support the firm’s vision, mission and strategy
* Participate in the completion of strategic initiatives and projects
* Learn overall processes; assist with operations and service tasks to gain understanding of end-to-end process
* Complete on-the-job training with existing team members
* Assist with Branch Manager tasks and duties
* Participate in weekly Operations committee meeting; participate in weekly 1x1 meeting with COO; provide feedback on areas of improvement and contribute ideas to continuously improve
* A team player who has good interpersonal skills and a positive attitude
* Adhere to company policies and industry regulations
* Perform additional duties as assigned by manager
* Ability to handle changing priorities and fast paced environment
* Well organized and detail oriented
* Proven ability to thrive in a dynamic environment
* Ability to establish effective relationships
* A passion for delivering an exceptional client and employee experience

**Desired Experience**

* Experience facilitating onboarding activities and coordinating front line and client expectations
* Proven ability to handle a variety of tasks and prioritize effectively
* Experience opening new accounts, processing transfers, and monitoring tasks and alerts
* Ability to analyze and complete daily operational tasks to achieve established goals
* Ability to complete client profiles and coordinate effectively with front line team members

**Desired Education**

* College Degree
* Licensing (Series 7, 9, 10 and 66) preferred

**Specific Duties**

**Assist with Supervision & Compliance reports**

* Documents Due – Review report for accounts missing required documentation (New account docs, REG BI notices, Disclosures, etc.)
* Alerts Portal/Supervisory Center – Review Account Changes/Reconcile money movement/Confirm incoming ACATS/ notate flagged trades and large account concentrations that have exceeded tolerances
* Practice Center – Review periodic reports/Review missing AMS Form 100/200 report
* Ensure compliance and complete Branch tasks

**Coordinate and Complete Operational Tasks (actual duties will be dependent upon licensing credentials)**

* Coordinate with clients to fill out client profile information
* Account opening (Individual, Joint, 529, UTMA/UGMA, Trust, Corporate, Market Linked Notes, SBLs, Vinebrook, Capital Wealth Planning, Donor advised funds, etc.)
* Prepare all required regulatory forms and request signatures from clients via DocuSign; work with the various RJ departments to ensure forms are processed (New Accounts, Customer accounts, Retirement Services, RJ Bank, Money Movement, Mutual Fund Trading)
* Complete Money Movement requests (journals, ACH, RMDs)
* Relationship Management system – Ensure all client accounts are householded and mutual fund links are aggregated. Apply nomenclature to mail packets within this system
* Ad hoc requests from clients (Qualified Charitable Distributions, address changes, statement reporting changes). Research how to transfer private placement investments by reaching out to the appropriate custodian
* Assist with trades
* Review the daily activity report to review prior day trades and money movement