Operations Coordinator I or Compliance Coordinator I (depending on credentials)

Ideal Candidate

Experience in wealth management and financial advisory services with a passion for operational and compliance 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 manager; 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
- Ability to work well with a team and provide compliance guidance and support

Desired Education

- College Degree preferred
- Licensing (Series 7, 66, 24 and/or 9 and 10) 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/ note tagged 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, Securities Based Lines of Credit, 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

Traits of an Ideal Candidate

- Lead yourself exceptionally well
- Follow through and be consistent
- Be willing to go above and beyond
- Think about the bigger picture
- Think within a broad context about how your decisions will impact the entire organization
- Be prepared every time and know when to push and when to back off
- Be better tomorrow than you are today
- Be someone team members can count on to deliver exceptional results every day
- Listen, be present
- Details are important: names, spelling, accuracy, follow through
- Take initiative and have the willingness to jump in and figure stuff out
- Don’t just go through the process—think critically about the situation
- Be teachable and open to feedback
- Raise your hand and ask for help if you need it