CLIENT SERVICE ASSOCIATE - NON REGISTERED

Job Description

SUMMARY OF RESPONSIBILITIES

Assists one or more Financial Advisor(s) (FA(s)) with the opening and maintenance of client accounts and records, performs a wide variety of administrative support duties, including but not limited to, word processing, preparing mailings, filing, answering the phone, obtaining approvals for FA(s) communications and advertisements, provides overall customer service support to clients, may enter trades as directed by the FA(s).

MAJOR DUTIES

- Performs clerical functions related to opening client accounts and ongoing account codings based upon account features chosen by the client.
- Works with the FA(s) and the client in obtaining the required documents based upon the type of account(s) established.
- Organizes and assists in the maintenance of complete client account and trade-related records for the FA(s) and certain required files for the branch office.
- Performs operational or administrative functions for client related requests (i.e., check requests, wiring funds, address change, dividend information, etc.).
- Upon request, provides quotes and other account-related information to assist clients; non-registered Client Service Associates may not volunteer quote or other stock information to clients.
- Provides reports and other information to FA(s), as needed.
- Identifies situations that need to be brought to the attention of the FA(s) or escalated to the Branch Manager; including suspicious client and/or employee activity or behavior.
- Obtains appropriate approvals for FA(s) to use communications with the public, seminars, advertising, etc. and ensures the final copy and appropriate approvals are filed in the branch files.
- Organizes and assists with branch functions, client events, and seminars for the FA(s). Client Service Associates may send invitations on behalf of the FA, perform follow-up calls to obtain attendance interest, reserve accommodations, order handout materials and refreshments, work registration and seating arrangements at the event; Client Service Associates may not be designated speakers or present products to clients or prospective clients at such events.
- Under the direct supervision of the Branch Manager, perform calling activities, not limited to existing clients, using scripts approved by a principal of Advertising and Graphics. Non-registered Client Service Associates may extend invitations to firm-sponsored events, inquire whether existing clients would like to discuss their investments with a FA, or offer to extend an existing client investment literature; they may not solicit prospects to open accounts, discuss general or specific products or services, or pre-qualify prospects.
- Enters orders received directly from a FA who is registered in the client’s state of residence.; Non-registered Client Service Associates may not write order tickets and are prohibited from accepting orders from clients under any circumstances.
- Performs various administrative duties (i.e., typing, filing, answer phones, mailing documents/letters, etc.) and other duties as assigned by the FA and/or Branch Manager.

Required Skills

KNOWLEDGE, SKILLS AND QUALIFICATIONS

- High School Diploma or equivalent; prefer 2 years college or business school certificate.
- 2 years clerical/related industry experience required; prefer 2 years of investment industry experience as well.
- No licenses or credentials required upon hire but has the opportunity to get registered in the future.

- KNOWLEDGE REQUIRED
  - Knowledge of administrative and clerical procedures and systems such as word processing, spread-sheet applications, managing files and records, and other office procedures and terminology.
  - General understanding of the investment brokerage industry and securities regulations.
  - Basic knowledge of investment products.
  - Basic understanding of operations system (i.e., forms and their purpose).

- SKILLS REQUIRED
  - Ability to organize/prioritize
  - Practical problem solving
  - Strong focus on providing exemplary client service
  - Strong interpersonal skills
  - Strong communication skills (both written and verbal)
  - Excellent grammar and possess phone/office etiquette

- EQUIPMENT/SOFTWARE SKILLS REQUIRED
  - Desktop computer/Typing (50+ wpm)
  - Microsoft Outlook, Word, Excel
  - BETA Terminal
  - Fax, scanner and copier machines
  - Postage machines
  - Multiple-line telephone

Required Experience

OTHER JOB FACTORS

- WORK CONTACTS
  - Financial Advisors
  - Branch Manager
  - Clients (on an administrative or operational basis only)
  - General Public (on a limited basis only)
  - Various Home Office Personnel/Departments

- WORK ENVIRONMENT

Standard climate-controlled office setting.

- PHYSICAL EFFORT

Usually works from desk. Standard (or Typical) standing, bending, walking, stooping, reaching, etc.

- MENTAL EFFORT

Must be able to manage stress, meet strict deadlines under pressure, perform with a high degree of accuracy, and consistently provide excellent customer service.

OTHER COMMENTS

NOTE: Job descriptions are not intended, and should not be construed, to be an exhaustive list of all responsibilities, skills, efforts, or working conditions associated with a job. They are intended to be accurate reflections of those principal job elements essential for making fair pay decisions about jobs.

Job Location

Grand Haven, Michigan, United States

Position Type

Full-Time/Regular

Please submit resume to :

One South Harbor Grand Haven MI 49417

Or via email to Molly Miles, mmiles@stifel.com