Contact: Andy Klausner
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Job Title
Licensed Operations Coordinator (Wealth Management)

Company
Confidential

Location
Dallas, TX

Job Type
Full-Time

Salary
$75,000 - $85,000 plus bonus

Industry
Financial Services / Wealth Management

About the Company
Our client is a boutique Wealth Management firm that works with families and businesses to help them execute and maintain their financial goals throughout their lifetime and future generations. The firm offers planning services, insurance, and investments. Core values of the firm include honesty, discipline, and passion as they build long-term relationships with clients.

Job Description
Our client is looking for an experienced operations professional with knowledge of wealth management and financial advisory Services with a passion for operational excellence.

Responsibilities

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

- 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 house held 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

Experience and Qualifications

- Bachelor's Degree
- Licensed (Series 7,9,10 and 66) preferred
- 3-5 years of relevant operations experience