Client Services Associate 3-2022

Wednesday, March 9, 2022 1:19 PM

We are leading financial planning and advisory firm based in Middleton, Wisconsin. We serve high-net-worth individuals, families and related entities. Our mission is to help clients gain clarity in their life's purpose. Our process allows us to synchronize with our client's existing team of advisors in a collaborative environment. By leveraging this collective wisdom we'll develop an actionable financial plan connecting clients to their goals. We are associated with a long standing respected brand that strongly believes in professional development and advancement of our new hires. As a group, we help protect our clients from fads and gimmicks, while staying on the razors edge of new planning concepts.

PRIMARY FUNCTIONS

The Client Services Associate is an integral part of the overall client experience, supporting our financial planning team. A high degree of accuracy is required, with the Client Services Associate acting to ensure a satisfying and memorable client experience. Client Services Associate role:

- Coordinates, prepares, mails and processes initial document packages.
- Handles all necessary account maintenance such as wires, journals, check requests, transfers and money-links, new applications, changes of address, etc.
- Processes any returned documents from clients including contracts & investment policy statements, applications, transfer paperwork, etc. according to established department procedures.
- Triage incoming mail communications
- Inputs and maintains accurate client information in all appropriate databases and software applications.
- Tracks outstanding client transfers and purchases/redemptions of alternative assets.
- Effectively manages and prioritizes work flow created from CRM action items, phone calls from clients, emails, and additional work not flowing through the central database.
- Verifies that all requests to custodians are received and handled to completion.
- Scans and files any paperwork directly generated by personal daily activities and assists the team with scanning/filing when necessary.
- Ensures that complete cost basis information for client accounts is updated and available with the appropriate custodian.
- Actively participates and contributes to team projects (internal and external).
- Develops an understanding our firm's planning philosophy, programs, features and benefits. Strives towards a thorough understanding of firm services, philosophies, and ideologies.

QUALIFICATIONS

Required

- Bachelor’s Degree or equivalent work experience
- Minimum of one (2) year experience in the financial services industry with a concentration in securities and investment operations
- Series 7, and 63, or ability to obtain within first three months

Preferred

- Life and Health licenses (WI)
- Strong written and verbal communication skills, a can-do-attitude, enthusiasm, and a strong aptitude for learning.
- The ability to effectively prioritize workloads and complete tasks within well-defined guidelines and time constraints is essential.
- Organizational skills and attention to detail are critical given the nature of paperwork,

processes, and work, upon which both clients and the Wealth Management Team depend.

- Analytical thinking skills with the ability to draw on a range of resources to ensure a high-quality outcome across the position responsibilities.
- Familiarity with the Pershing platform
- Microsoft Office proficiency
- Excellent customer service and administrative abilities.

Candidate must be reside in the State of Wisconsin, and have the ability to physically meet in Madison

Please submit resumes (with cover letters) to steven.penn@nm.com