Wealth Management

CLIENT SERVICE ASSOCIATE

JOB OVERVIEW

You're outgoing, a great communicator and a born collaborator, but you also love process, multi-tasking and managing day-to-day details. If connecting the dots – and people – is your passion, we'd love to meet you!

ASI Wealth Management is a people-focused investment firm seeking a dynamic, enthusiastic Client Service Associate to help support our vision, positive culture and team spirit. At the heart of our organization, we believe in growing relationships and giving our clients the peace of mind that we're here to help guide their dreams and live their best lives. We need a pro-active communicator and influencer who can serve as the true connection between our clients and the entire team at ASI.

Your key role? To engage and support the overall success of many different projects and initiatives by working side-by-side with our Advisory and Client Services teams and focusing on the support of our core client case requests. If you'd excel at managing the regular operations of the office including, financial planning and custodial paperwork, investment management, compliance, and technology, you'd fit right in.

JOB RESPONSIBILITIES

Client and Firm Engagement

- Provides administrative support as needed: answers calls, manages contacts, manages schedules, expenses, books travel, types correspondence, produces reports, and creates presentation materials
- Maintains and retains office files consistent with firm/professional policies and requirements
- Supports marketing and client events as requested including newsletters, blog, social, website, communications, office events, etc.
- Conducts other administrative related tasks and projects as needed
- Sends paperwork to clients using the electronic signature system while adhering to the Custodian's compliance rules pertaining to electronic signatures
- Quality check and submit custodial items for processing
- Focused Specialty on single area such as compliance, HR, marketing, or Financial Planning functions.

Advisory

- Engage and support weekly Client Prep meetings, ensuring Advisory and Client Services teams are ready and prepped for upcoming client meetings
- Support client onboarding requirements with for financial planning and investment management applications
- Prepare and produce back-office support demands for complex client account requests
- Lead back-office support initiatives and/or core projects that support Advisory teams
- Gather and prepare necessary information for advisory meetings with clients.

- Provide trading and portfolio support / functionality (As Directed)

Compliance

- Supports Compliance to maintain an effective and robust investment advisory compliance program
- Conducts certain compliance program tests
- Performs other compliance related tasks and projects as assigned

THE IDEAL CANDIDATE

As a Client Service Associate at ASI, you bring a pro-active approach and the ability to work independently. Your standards are high, and you have good judgment. You're an excellent communicator, and are confident taking initiative, prioritizing daily tasks with attention to detail, and making decisions under uncertainty and extreme time pressure.

Experience and Education:

- Bachelor's degree
- Series 65 and pursuit of Financial Paraplanner Qualified Professional (FPQP) Certification preferred
- Ideally, 3-6 years of experience in a financial services firm with an emphasis in either client services and/or operations
- Leadership experience demonstrated through reporting structure or special projects
- Experience with investments and financial planning applications preferred
- Experience working with various custodial platforms

Skills and Knowledge:

- Subject Matter Expert in Client Service Roles
- Excellent communication skills (verbal, written and listening)
- Enhanced tech stack proficiency (CRM, Portfolio Management Systems, etc.)
- Knowledge of RIA operations, regulations, compliance, and oversight
- Demonstrates personal integrity, honesty and can deal with confidential information daily
- Ability to handle stress in an ever-changing investment market
- Excellent time management and strong organizational skills
- Ability to prioritize multiple tasks and anticipate potential problems

Email Cover Letter & Resume to info@asiwealthmanagement.com