

Client Services - Associate/Manager

Summary:

The Client Service position assists Financial Advisors and team members with client service and client management to ensure complete satisfaction with an emphasis on creating and delivering a unique client experience that defines and differentiates the practice. This individual is responsible for meeting service expectations, ensuring the accuracy of client account administrative activities, and developing collaborative relationships with clients and advisors. This role is responsible for creating a compelling client experience and providing a high level of service throughout the client lifecycle with the support of the client service team. This position will consistently follow high standards of business and professional ethics and legal and regulatory requirements when dealing with others and/or performing work activities.

Essential Duties and Responsibilities:

Client Servicing

Responsible for answering all incoming calls, helping clients when possible, transferring calls, and taking messages appropriately.

Answers client inquiries and provides readily available information to clients, if requested and as allowable, as it relates to servicing their accounts.

Initiates and facilitates regular contact with clients to build and maintain client relationships.

Acts as a liaison to Financial Advisors to ensure a high level of assistance is provided to clients and that outstanding service levels are met at all times.

Provides support for the management of client relationships. As needed, contacts clients to build and maintain relationships.

Builds and maintains a deep understanding of client process and needs, as well as industry trends, best practices, and solutions.

Responsible for preparing and summarizing client meetings by completing service checklist, organizing and printing out appropriate reports, and providing necessary follow-up. Attends and participates in client meetings as necessary.

Prepares and ensures new business paperwork processes successfully, which may include preparing forms, obtaining appropriate signatures, preparing documentation, tracking applications, and providing follow-up.

Operations

Responsible for completing client meeting agendas, preparing client meeting materials, organizing and printing out appropriate reports, preparing paperwork for accounts, and providing necessary follow-up.

Maintains client records by filing and organizing client information, forms and documents within Compliance Manual records retention and filing requirement and the data warehousing and management of client information in CRM and file folders.

Manages client contact, which may include new client set-up, updating client and prospective information, client service calls, client deliverables, and client paperwork. Manages and resolves client service issues in the timeliest manner.

Engages in strategies designed to communicate essential information concerning the Company to existing clients.

Responsible for the review of all client meetings to ensure all follow-up is completed. This includes trades, applications, compliance signatures, deliverables from or to the client and miscellaneous items as determined by Advisor or client expectations.

General

Coordinates Advisor's schedule and makes appointments. Responsible for confirmation of all scheduled calendar entries via phone, e-mail or mail. This includes confirmation of client meetings as well as any other scheduled events.

Accepts and performs other ad hoc duties as assigned.

Provides marketing support, administers client appreciation, and ensures a positive client experience.

Composes and types routine correspondence.

Organizes and maintains file system and files correspondence and other records.

Performs a variety of administrative duties for all areas of the business as needed.

Prepares charts, graphs, tables, and other visual aids to be used in implementation meetings with clients.

Supports compliance within the practice and fulfills all compliance responsibilities. Develops an understanding and adheres to all compliance regulations throughout the course of employment.

Initiate and/or participate in projects and/or initiatives as appropriate with the intent of continual improvement in processes, client experience, etc.

Explores opportunities to add value to job accomplishments and to the organization.

Keeps immediate supervisor promptly and fully informed of all problems or unusual matters of significance.

Reviews work methods and procedures for possible quality improvements and efficiencies; implements them when appropriate.

Creates and maintains a model workweek allowing for client service and retention, business development and ongoing professional development.

Regular and predictable attendance, punctuality, and strict adherence to the Company's attendance policy are essential functions of this position.

Supervisory Responsibilities:

Supervisory responsibilities are determined by employee level.

Competencies:

To perform the job successfully, an individual should demonstrate the following competencies:

Analytical - Synthesizes complex or diverse information; Collects and researches data; Uses intuition and experience to complement data.

Problem Solving - Identifies and resolves problems in a timely manner; Gathers and analyzes information skillfully; Develops alternative solutions; Works well in group problem solving situations; Uses reason even when dealing with emotional topics.

Project Management - Develops project plans; Coordinates projects; Communicates changes and progress; Completes projects on time and budget.

Technical Skills - Assesses own strengths and weaknesses; Pursues training and development opportunities; Strives to continuously build knowledge and skills; Shares expertise with others.

Client Service - Manages difficult or emotional client situations; Responds promptly to client needs; Solicits client feedback to improve service; Responds to requests for service and assistance; Meets commitments.

Interpersonal Skills - Focuses on solving conflict; Maintains confidentiality; Listens to others without interrupting; Keeps emotions under control; Remains open to others' ideas and tries new things.

Oral Communication - Speaks clearly and persuasively in positive or negative situations; Listens and gets clarification; Responds well to questions; Demonstrates group presentation skills; Participates in meetings.

Written Communication - Writes clearly and informatively; Edits work for spelling and grammar; Varies writing style to meet needs; Presents numerical data effectively; Able to read and interpret written information.

Teamwork - Exhibits objectivity and openness to others' views; Gives and welcomes feedback; Contributes to building a positive team spirit; Puts success of team above own interests; Able to build morale and group commitments to goals and objectives; Supports everyone's efforts to succeed.

Quality Management - Looks for ways to improve and promote quality; Demonstrates accuracy and thoroughness.

Business Acumen - Understands business implications of decisions; Displays orientation to profitability; Demonstrates knowledge of market and competition; Aligns work with strategic goals.

Cost Consciousness - Works within approved budget; Develops and implements cost saving measures; Contributes to profits and revenue; Conserves organizational resources.

Diversity - Shows respect and sensitivity for cultural differences; Promotes a harassment-free environment; Builds a diverse workforce.

Ethics - Treats people with respect; Keeps commitments; inspires the trust of others; Works with integrity and ethically; Upholds organizational values.

Organizational Support - Follows policies and procedures; Completes administrative tasks correctly and on time; supports organization's goals and values; Benefits organization through outside activities.

Strategic Thinking - Develops strategies to achieve organizational goals; Understands organization's strengths & weaknesses; Analyzes market and competition; Identifies external threats and opportunities; Adapts strategy to changing conditions.

Judgment - Displays willingness to make decisions; Exhibits sound and accurate judgment; Supports and explains reasoning for decisions; Includes appropriate people in decision-making process; Makes timely decisions.

Motivation - Sets and achieves challenging goals; Demonstrates persistence and overcomes obstacles; Measures self against standard of excellence; Takes calculated risks to accomplish goals.

Planning/Organizing - Prioritizes and plans work activities; Uses time efficiently; Sets goals and objectives; Organizes or schedules other people and their tasks.

Professionalism - Approaches others in a tactful manner; Reacts well under pressure; Treats others with respect and consideration regardless of their status or position; Accepts responsibility for own actions; Follows through on commitments.

Quality - Demonstrates accuracy and thoroughness; Looks for ways to improve and promote quality; Applies feedback to improve performance; Monitors own work to ensure quality.

Adaptability - Adapts to changes in the work environment; Manages competing demands; Changes approach or method to best fit the situation; Able to deal with frequent change, delays, or unexpected events.

Attendance/Punctuality - Is consistently at work and on time; Ensures work responsibilities are covered when absent; Arrives at meetings and appointments on time.

Dependability - Follows instructions, responds to management direction; Takes responsibility for own actions; Commits to long hours of work when necessary to reach goals; Completes tasks on time or notifies appropriate person with an alternate plan.

Initiative - Volunteers readily; Undertakes self-development activities; Seeks increased responsibilities; Looks for and takes advantage of opportunities; Asks for and offers help when needed.

Innovation - Displays original thinking and creativity; Meets challenges with resourcefulness; Generates suggestions for improving work; Develops innovative approaches and ideas.

Qualifications:

To perform the job successfully, an individual must be able to perform each essential duty satisfactorily. The requirements listed are representative of the knowledge, skill, and/or ability required. Accommodations may be made available to enable individuals with disabilities to perform the essential functions.

Education and/or Experience:

Bachelor's degree (B.A.) from regionally accredited four-year college or university; or three years related experience and/or training; or equivalent combination of education and experience required.

Advanced degrees preferred.

Continued education- Lifelong learning is expected. Updates job knowledge by participating in educational opportunities, reading professional publications, and maintaining personal networks.

Language Skills:

Ability to read and interpret documents such as company policies, regulations and instructions, procedure and compliance manuals is essential. Ability to write routine reports and correspondence. Ability to speak effectively with individuals as well as groups of clients or employees of the organization.

Mathematical Skills:

Demonstrate proficiency to add, subtract, and divide in all units of measure, using whole numbers, common fractions, and decimals. Must be able to compute rate, ratio, and percent and to draw and interpret bar graphs.

Computer Skills:

To perform this job successfully, an individual should have knowledge of contact management systems, database software, internet software, spreadsheet software, word processing software, Desktop Publisher, and PowerPoint software.

Other Skills and Abilities:

Client Relationship Role exercises independent judgment and discretion in performing the job duties associated with the role. The ability to exhibit sound and accurate judgment, include appropriate team members in the decision-making process, and make proper decisions is paramount. In addition, ability to consistently follow high standards of business and professional ethics and legal and regulatory requirements when dealing with others and/or performing work activities is necessary.

To be successful, the individual will have excellent inter- and intra-personal relationship skills, effective communication skills, and the ability to approach others in a tactful manner.

Certificates, Licenses, Registrations:

Series 65 within 6 months of employment.

Physical Demands and Work Environment:

The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this position.

Work involves sedentary to light work in an office setting. There is frequent need to sit, talk, hear, use the hands and fingers, occasionally lift light objects (up to 25 pounds), and perform other similar actions during the course of the workday. An essential function of this position is the employee's full time attendance and physical presence within the office.

The work environment is typical office work such as you would find in a bank, insurance business, accounting firm, law firm, or other professional office. There are no unusual or significant hazards. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.

All candidates for employment will be subject to pre-employment background screening for this position, which may include motor vehicle, DOT certification, drug testing and credit checks based on the position description and job requirements. All offers are contingent upon the successful completion of the background check.

Additional Background or Health Screening Requirements

Selected incumbent must have successful completion of a DMV check, a valid driver's license and a car available.

Posting Disclaimer

The intent of this job description is to provide a representative summary of the essential functions that will be required of the position and should not be construed as a declaration of specific duties and responsibilities of the particular position. Employees will be assigned specific job-related duties through their hiring departments.

Affirmative Action Statement:

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