



Wealth Management Registered Client Services Associate

Position Summary: Provides support to RCB Wealth Management Team that focuses on financial planning, money management, insurance, and investment sales. Responsibilities include daily operations, customer assistance, marketing support, incoming and outbound customer and prospect calls, preparation & review of correspondence, and performance of day-to-day administrative responsibilities for a varied portfolio of investment and insurance clients. The position supports the business development activities of the Wealth Management team. Client satisfaction is a key success marker for this position.

Key Duties and Responsibilities:

Advisory & Brokerage Operations

- Provide assistance in the administration of client accounts
- Maintain knowledge of and monitor the compliance requirements to ensure correct procedures, accuracy, and timeliness requirements are being met
- Process deposits into client accounts at LPL
- Maintain client files, filing, scanning, copying, and faxing client documents in accordance with LPL's I-Doc requirements & paperless office procedures
- Coordinate tax process with the client's CPA
- Co-ordinate with outside Fiduciaries on client relationships
- Prepare office reporting for sales, management and revenue reports including: tracking activities, new accounts, appointments for monthly reporting.

Business Development: partnering with team to help increase business development opportunities: marketing, campaigns, seminars, special events, social media posts, releases, etc.

Customer Service: including researching and responding to client inquiries, working with professionals (Attorneys and Accountants) to support clients and Wealth Management Advisors, performing general Account Maintenance.

Knowledge, Skills & Abilities:

- Licenses Required: Series 7 and 66 (can be obtained post-hire; within 6 months)
- Minimum 2-3 years of customer service experience.
- College degree preferred.
- Position requires high degree of accuracy and attention to detail

ADDITIONAL NOTE:

This position requires a background check. If you are licensed and if you have a prior bankruptcy, U-4 disclosures, credit issues, criminal convictions, civil judgments, pending litigation, termination from a previous employer, or any other matter subject to FINRA disclosure regulations, you must disclose these items during the pre-screening process.