



228 N 2nd Ave SW Rome,  
Georgia 30165

## **Job Description**

### **Wealth Management - Sales Assistant**

**Reports to:** Wealth Management Managing Director

#### **Position Summary:**

WM Sales Assistant (SA) will support Wealth Advisors by handling routine client requests (mainly those related to account maintenance matters), freeing the wealth advisor to devote more time to their value-added activity, providing financial planning and investment advice. A Sales Assistant will handle telephone calls and solve client operational problems, as well as any issues related to new account set up, account maintenance transactions, compliance and regulatory changes. Client satisfaction is a key success marker for this position.

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 requires forming working relationships with, and knowledge of clients. The position supports the business development activities of the wealth management team. Sales Assistants are not permitted to offer investment advice of any sort.

#### **Key Duties and Responsibilities:**

##### **Customer Service**

- Serve as primary contact for general client calls and inquiries
- Research and respond to client inquiries
- Work with professionals (Attorneys and Accountants) as necessary to support client and Wealth Management Advisors
- Coordinate the resolution of any client related bank issues
- Monitor client Service Level Agreements
- Maintain client tasks in CRM tool (Redtail)
- Perform Account Maintenance in ClientWorks (Client account system). Client Data Updates (Address, Email, Beneficiaries, Suitability, Power of Attorney etc.)
- Initiate and follow-up on Move Money requests (ACH, Checks, Journals, RMDs, Wires,)
- Process third-party payments from client accounts
- Direct contact with internal and external sources via email and/or phone to resolve tasks
- Proactive outreach with advisor to contact clients regarding pending RMDs and assistance with setting up RMD service

### **Business Development**

- Partner with staff to help increase business development activities
- Coordinate meetings with potential client and prospects
- Assisting client on-boarding process, including collecting and entry of pertinent data from clients
- Monitoring the transfer of incoming assets
- Distributing materials, educational information, etc. upon request
- Work with advisors and bank employees to collect internal referrals, set up meetings and help with follow up activities including delivering any necessary follow-up items
- Follow-up on outstanding tasks
- Provide detailed instructions and guidance to clients to assist with AccountView (online account access) setup as part of the new account opening process
- Assist advisors to prepare for sales meetings and presentations
- Work with marketing to maintain information on website

### **Financial Planning**

- Data collection and input in Right Capital (financial planning software). Work with advisor and clients to collect data, run financial plans, and double checking that the information provided
- Create custom asset allocation and generate proposals. Work with advisor to provide necessary disclosures
- Work with client and advisors to update and revise plans

### **Administrative**

- Optimizing workflows, custom tasks and projects
- Manage recurring tasks and general client reminders
- Day-to-day tasks will include maintaining client files, filing, scanning, copying, and faxing client documents in accordance with LPL's I-Doc requirements & paperless office procedures
- Maintain knowledge of operations and monitor the compliance requirements. Participate in the coordination of the operations and investment process to ensure correct procedures, accuracy, and timeliness requirements are being met
- Process deposits into client accounts at LPL (our Broker/Dealer)
- Assist Program Manager in preparation of Monthly reports; help in preparing team meetings.
- Provide general administrative support
- Gather data and run reports from ClientWorks for client reviews and meetings
- Client Segmentation/Organize CRM based on information provided by Advisor to segment book of business
- Proactive Outreach Alerting advisor to sensitive announcements that may affect book of business
- Notifications Review and resolution of notifications
- Reporting and Regulatory Review
- Initiates internal escalation and follow-up of issues within LPL
- Prepare and submit materials for Marketing Regulatory Review (MRR)

The duties noted above are not intended to be comprehensive and may change if it is in the best interests of the bank as determined by the Department Manager.

## **CORE COMPETENCIES:**

- Teamwork – works enthusiastically in a team atmosphere, promoting collaboration and idea sharing verbally and through actions; facilitates and provides support to other departments and team members as necessary
- Organization – creates, implements, and utilizes efficient systems and methods to maintain a highly organized and neat workspace; establishes and maintains records management systems that are easily understood and utilized, compliant with all rules, laws, and regulations
- Client Service – provides best-in-class service to employees, clients, and vendors; dedicated to meeting expectations and requirements of the external and internal clients, acts with customer in mind, establishes and maintains effective relationships, and gains trust and respect according to our **Expect More** brand.
- Change Management – can effectively cope with change, can shift gears comfortably, can decide and act without having the total picture, can comfortably handle risk and uncertainty
- Time Management – proven ability to consistently manage administrative tasks with accuracy and attentiveness to deadlines; keen ability to work autonomously or as a member of a team
- Written/Oral communication – embodies forward-looking initiative to prepare, distribute and clarify meaningful, complete, and ongoing communication with team members, clients, contractors and vendors; excellent written communication skills and compelling and professional communicator.
- Discretion and Confidentiality - uses discretion and judgment when working on private and confidential matters.

## **MINIMUM KNOWLEDGE, SKILLS, & ABILITIES REQUIRED:**

- Demonstrated proficiency with Microsoft Office applications and other software including CRM and Financial Planning
- 2-3 years customer service experience
- Strong communication skills
- Excellent time management skills
- Ability to multi-task and manage time effectively
- Self-starter, work efficiency

## **ADDITIONAL NOTES:**

Candidates should desire to become a Wealth Advisor after two years of service as Sales Assistant. After two years, process to obtain Registrations Series 7, 66 and Insurance licenses should begin.

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.