OPERATIONS AND SERVICE ASSOCIATE

Entrust Financial® LLC is an independent, fee-only investment management firm, founded to provide customized, holistic financial advice based upon clients' most important goals. Entrust is one of the few woman-founded, women-owned firms in the region and specializes in assisting business owners and their extended families.

All members of the Entrust team strive to provide a better experience to each client and to all those we touch. We believe in and practice The Golden Rule.

POSITION SUMMARY:

The Operations and Service Associate is responsible for providing support in all aspects of the back-office operations of the firm. Service responsibilities entail working closely with Entrust advisors to provide needed administrative support to fulfill the client experience, including a wow communications experience—from in-person client interactions to electronic communications.

Habits/Skills:

Enjoys helping people
Resourceful, motivated, detail-oriented and prompt
Collaborates well with a team
Persuasive oral and written communications
Self-directed organizational and time management abilities
Embodies the expression: "System is comfort."

Knowledge/Experience:

Required:

- Experienced with Microsoft Office (Word, Excel, PowerPoint) and SalesForce.
- Knowledge of retirement plans, financial planning, customer service and compliance issues.
- Experienced with the operations of establishing client accounts and money movement. *Knowledge of Charles Schwab Advisor Service Center is preferred.
- Five years or more working as part of a wealth management team.

Education/Training:

Bachelor's degree in a related field, or the equivalent combination of education and/or experience.
Series 65/66 registered preferred.

Operational:

- Provide general and technical service for all systems and technology that support investment strategies and financial advisors, such as the phones, copy machine, and computer technology systems.
- Be the point person for all office technology. Serve as a liaison with Pathfinders (our current technology and VOIP provider) and with Altek (our current copy machine company).
- Maintain and ensure that all client information and updates are kept current in all systems: SalesForce, Schwab P.S. Web, ModestSpark (client portal), Byall, and DST.
- Follow all instructions on SalesForce Process Templates to assist with and fully document tasks.
- Order supplies (such as postal, paper, and general office supplies) in anticipation of need.
- Support the Entrust team in other operational tasks as they arise. Initiate and complete miscellaneous endeavors that contribute to delivering the wow Entrust experience.
- Regularly evaluate operational procedures and controls and present your proposals to improve operational efficiency and effectiveness.

Service Administration:

- Greet and direct all visitors; answer the advisors' phones (when they are not available).
- Schedule and confirm all client regular progress meetings for advisors.
- Complete all needed paperwork for account administration on an ongoing basis and email attendant regulatory documents to clients, when appropriate.
- Respond to client clarification or information requests, such as confirmation of receipt and processing of investments, and tax reporting. Appropriately document all client contacts and follow-up, scheduling future tasks as needed.
- Provide general administrative support—such as handling the distribution of mail daily, arranging for special client birthday gifts—routinely documenting on SalesForce, as appropriate.
- Prepare mass client emails on an as-needed basis, using SalesForce.
- When requested, notify clients of any firm-wide changes (client portal change, for instance) and assist with and attend Client Events.

New Client Intake:

- Continuously strive to enhance the client experience and deepen client relationships.
- Manage the account opening process from initial prospect/client contact through to account activation.
    - Ensure that all items on NEW CLIENT CHECKLIST are completed.
    - Create and process all needed paperwork.

Note these Physical Requirements:

May sit at workstation for extended periods of time; may look at computer screen for extended periods of time. Periods of fast pace are normal, particularly when working to meet deadlines.

GENERAL STANDARDS: Behavioral standards for which everyone in the firm is accountable.
1. All work is to be performed providing the highest levels of professionalism and business ethics.
2. All employees will be given documentation as it pertains to their work and position and coached in the use of their work processes.
3. All work standards for each position must be adhered to, and are in accordance with documented work processes, firm policies and values.
4. All sales and other promises, claims, and event representations to prospects and clients will be consistent with the highest established ethical standards.
5. All work will be performed in accordance with all the laws and regulations in the jurisdictions in which the firm operates.
6. All matters relating to firm clients are to be held as strictly confidential.
7. Attend all Entrust client appreciation events.
8. Attend educational seminars and workshops hosted by Schwab (as directed by management.)
9. Professional business dress is required at all times.
10. Ensure all client data is stored in locked cabinets at the end of every workday.