CAROLINAS
INVESTMENT CONSULTING LLC

Investment Services Operations Associate

General Description:

In this role, you are responsible for supporting the operational requests and issues for the firm's clients and coordinating the efforts with others in the firm and with our custodians. In addition to facilitating and tracking back-office transactions, you assist with general client service. This role is highly integrated and works closely with multiple areas in the firm, including Relationship Managers (RMs) and Compliance. You are viewed as a key resource and are central to the firm's ability to serve our clients effectively and efficiently.

Specific Responsibilities: There are primary focus areas, plus common responsibilities as follows:

Primary Focus:

- Coordinate operational tasks and completion with our custodian firms (currently Fidelity and Schwab).
- Maintain current knowledge of account structuring related to retirement plans, estate plans, multi-margin relationships, etc.
- Assist in opening new client accounts and maintain appropriate logs. This includes accounts at Fidelity, Schwab, 529 Plans, Annuities, Direct way fund accounts, etc.
- Handle applicable document rejections and exceptions.
- Process ACAT & non-ACAT transfers: track, monitor, follow up and log.
- Process service requests for asset movements.
- Work with Relationship Managers to process gifting requests.
- Assist with the Required Minimum Distribution process for client IRAs.
- Monitor any monthly contributions and distributions are needed.
- Assist with Householding issues for new and existing clients.
- Back up Cashier Manager in securities cage as needed
- Obtain copies of statements/1099s for clients or RMs as needed.

Common focus:

- Interact directly with other team members to ensure the quality and timeliness of projects
- Manage available time to recognize and set priorities
- Update information in client relationship management system (CRM)
- Mail out disclaimers, disclosures, and other forms to clients as necessary

General Group Responsibilities:

- Attend weekly staff meetings (discuss previous week's unresolved issues and coordinate current week activities).
- Participate in firm retreats (off-site day-long meetings to focus on specific solutions to problems and future directions).
- Participate in special projects independently or with a team as requested.

Recommended Pre-Requisites:

- Undergraduate degree
- Series 7 and Series 66 licenses (or 63 and 65) or equivalent knowledge
- Over one-year of industry experience