

## POSITION DESCRIPTION

**JOB TITLE:** NBFA Client Assistant (New Britain Financial Advisors) **GRADE LEVEL:** VI

**DEPARTMENT:** Marketing **FLSA:** Non-Exempt

**DATE:** November 2022

**Reports directly to:** Vice President of Marketing  
(Career development, performance reviews, time approval)

**Assigned operationally to:** NBFA Investment Services Financial Advisor  
(Daily activity manager, performance feedback to VP of Marketing)

**Function:** Client Assistant supports the program by supporting the program manager and financial consultants. The person in this role must maintain consistent and effective communication between the management and the financial consultants to guarantee progress towards common goals.

### **Duties and Responsibilities:**

1. Must meet our service standards as evaluated by our internal and external members:
  - *I will greet you with a prompt, friendly welcome*
  - *I will treat you with courtesy and respect*
  - *I will offer you my undivided attention*
  - *I will take ownership of situations and follow through*
  - *I will provide accurate information and helpful solutions*
  - *I will do all I can to improve your financial life*
  - *I will thank you for your business*
2. Answer phones, check messages, and return phone calls as appropriate
3. Schedule meetings and prepare client paperwork and presentations
4. Confirm appointments, gather pertinent information, review of materials and information client should bring to appointment
5. Manage the new client onboarding process & client paperwork
6. Accept and appropriately log client checks
7. Manage related client information including identifying, investigating, and establishing affiliates and maintaining accuracy of client relationships as they apply to various financial data and reporting systems
8. Reviews all submitted paperwork for accuracy and completeness before submission  
Follows up with Advisor, client, or home office to obtain necessary documentation
9. Develop, manage, and participate in marketing events associated with the institution or program

10. Coordinates lobby displays, and ensures all materials are well supplied, current, and compliant in all locations
11. Assist in growing designated client base, utilizing a consultative sales process
12. Assists in any other area as needed to ensure the success of the investment services program

### **Positions Specifications**

**Education:** High School Diploma, college degree desirable.

**Experience:** Minimum of 3 years working with the financial services industry, specifically within customer service or extensive multi-person support.

#### **Skills:**

- Strong communication and interpersonal skills, both written and verbal
- Superior customer service and attention to detail
- Proactive, dependable, hardworking, and flexible
- Demonstrate commitment to accuracy and quality while meeting goals or deadlines
- Ability to prioritize workload and perform multiple tasks
- Self-directed and able to work within a team to expedite completion of critical projects with other functional groups
- Ability to work well in a fast-paced, deadline-driven setting
- Strong administrative, organizational and project management skills
- Ability to negotiate with clients and partners while maintaining positive relationships
- Excellent document interpretation and analytical skills
- Must be proficient in MS Office
- Must be able to pass a thorough background and credit check, as well as fingerprint approval process as required by FINRA (Financial Industry Regulatory Authority) and Broker Dealer.
- Self-motivated and able to perform tasks without supervision
- Minimal local travel for assistance with workshops and seminars
- Must pass the FINRA SIE (Securities Industry Essentials) and S7 (Series 7 – General Securities Representative) exams within 2 years.
  - ⊖ Note: Upon passing the above exams you would have an opportunity to become a Registered Client Assistant employed by the Broker Dealer otherwise you would remain employed as a Client Assistant with MSDFCU.