

New Business Processor

You will report directly to the President and Vice President of Operations. In your role you will support the day-to-day operations of the practice, while providing customer service to existing clients and prospects. Correspond with clients to complete new accounts, asset transfers, and other forms. Handle routine matters for client accounts including processing name and address changes, account applications and bank authorizations, answering client questions via telephone and face to face. Research and resolve client service problems for errors as needed. Record all transactions on appropriate logs, set up client files and obtain necessary information.

Representative Support

- Managed Account Proposals
- Prepare New Business documents
- Meet with Client(s) to review new business documents and obtain signatures
- Review reps CRM Dashboard and identify items that need to be addressed/ handled, confirm the task is completed, write appropriate notes in activity and mark as complete.

- Meet with rep to review New Business instructions when preparing to meet with new clients
- Obtain rep signatures on paperwork

- Handle client inquiries directed to Rep, (received via phone calls, fax, e-mail and office visits). Once information is obtained from client to determine what the inquiry entails, take appropriate course of action (i.e., answer question directly, discuss with rep, prepare documents needed, etc). Review details with rep as FYI.
- Prepare withdrawal worksheets for rep review when needed
- Respond to any requests from Broker Dealer OR Sponsor Company for new business that has been submitted, request additional information from rep if needed.
- Reviewing Trading Platform for:
- Mandatory Corporate Actions (reorganizations, bond calls, stock splits/reversals, UIT terminations, GTC order expirations, Optional Dividend announcements,)
- Voluntary Corporate Actions
- Insufficient funds for periodic distributions
- Margin details
- Updated 1099s
- Outgoing transfers

- Review trades (buy/sell) in Pershing accounts as well as perform contract reallocation's at various Sponsor Companies, per reps instruction
- Review dictations

Client Support

- Handle client initiated requests. These include questions and paperwork regarding:
- taking withdrawals
- making additional deposits
- reviewing contract specific riders
- Albridge/Emoney support
- NetX enrollment/troubleshooting

- Establishing ACH instructions/periodic distributions from Pershing accounts
- Beneficiary Updates
- Cost Basis Data Entry
- Tax reporting inquiries/corrections

Meeting with clients to:

- Review Albridge/Emoney
- Establish on-line access to various Sponsor Company websites and Emoney
- Review/explain different pieces of mail received
- Obtain signatures on contract maintenance, withdrawal forms and other documents as needed
- Proactively contact clients when changes are occurring with their accounts, (i.e., rider fees are increasing, ProCash account conversion, e-delivery)
- Documenting client contact in CRM tool and appropriate Files

Administrative Support

- Perform general administration and support functions for the office as required
- Organize and maintain client paperwork
- Correspond with clients to complete new accounts, asset transfers, and other forms
- Handle routine matters for clients accounts including processing name and address changes, account application and bank authorizations, answering client questions via telephone and face to face
- Research and resolve client service problems and errors as needed
- Record all transactions and appropriate logs
- Set up client files and obtain necessary information
- Assist with answering phone calls/ delegating faxes to appropriate persons
- Filing of client statement and files
- Assist other team members in preparing documents for client signature, returning calls, scheduling appointments
- Scanning and attaching documents in CRM tool
- Assist with greeting incoming clients and offering beverages/cookies
- Assist with checking on reps/clients during meetings
- Assist with organizing prospectus closet
- "Special Projects"- i.e., RMD report, Advisor Assistant transition/review of data, standardizing various abbreviations/information, etc.

Ideal Skills:

- College level courses in business/finance preferred
- One year securities or related industry experience preferred
- Previous customer service experience
- Ability to communicate with co-workers, customers and various business contacts in a courteous and professional manner
- Knowledge of general securities industry terminology and practices
- Ability to investigate, research, and resolve problems and concerns
- Ability to maintain confidentiality

- Ability to make rule-based and analytical decisions
- Ability to organize, prioritize and handle multiple tasks
- Ability to pay close attention to detail, work under pressure and meet deadlines
- Ability to take complete and accurate notes
- Skills in operating various office equipment including personal computer, fax machine, copier, etc.
- Skills in utilizing various software packages such as Microsoft Office & Outlook

***Salary dependent on experience**

***Health Benefits**

***401K**

***PTO**

Job Type: Full-time

For more information, please contact Nichole Demsky, nichole@bangerterfinancial.com