



Position Title: Client Relations Specialist

Department: CreativeOne Securities

Reports to: Operations Manager

Status: Full-time/Non-Exempt

Position Summary

The Client Relations Specialist provides training and ongoing support services to the registered representatives and support staff of CreativeOne Securities. Responsibilities include facilitating new registered representatives in all phases of transitioning their securities clients to the organization. In addition to assisting with transitions, the Client Relations Specialist provides support with all back-office functions.

Duties and responsibilities include, but not limited to:

- Creating new client accounts, submit service request for clients' accounts, forwarding checks and securities to the appropriate vendors.
- Research customer accounts including account errors, name and address verification, dividend payment modes, status of securities, etc.
- Facilitate training for registered reps and their support staff on CreativeOne Securities' cloud platform
- Day to day online customer service to registered representatives (including password res-set, training, etc.)
- Follow-up on outstanding items with registered representatives
- Scan/index departmental information
- Daily interaction with registered representatives, vendors, teammates and customers to provide customer service

Critical skills sought:

- Applies critical thinking, problem solving skills, and evaluates the level of sensitivity, risk and confidentiality of the work being performed in order to see it through to a resolution
- Displays a positive attitude and has excellent interpersonal skills
- Displays patience and empathy both verbally and in writing when communicating with customers, registered reps and support staff.
- Effectively communicates with cross functional team members within the department and across the organization both verbally and in writing
- Effectively uses and applies knowledge of securities operations, business processes and systems
- Manages workload of self to meet project deadlines and deliverables

- Must be team oriented, enjoy working with people, and be pro-active, flexible, and have the ability to work independently and accurately in a fast-paced environment
- Prioritizes work and adheres to established turnaround times and deadlines
- Proficient in various computer applications, including Microsoft Office Suite
- Strong general administrative and telephone skills

Preferred background/experience:

- Bachelor's degree or equivalent experience
- Series 7 preferred.
- Docupace experience a plus
- Life and variable insurance license preferred
- Must be able to pass a CRD and background check as well as a credit check
- 3+ years' experience in the securities industry

This description covers the major purpose and major functions of the job. It is not intended to give all details or a step-by-step account of the way each task is to be performed. Employees may receive other job-related instructions and be required to perform other job-related duties requested by their supervisor. All requirements are subject to possible modification to provide reasonable accommodation to qualified individuals with disabilities.

CreativeOne provides equal employment opportunities to all employees and applicants for employment and prohibits discrimination and harassment of any type without regard to race, color, religion, age, sex, national origin, disability status, genetics, protected veteran status, sexual orientation, gender identity or expression, or any other characteristic protected by federal, state or local laws.