Director of Client Services

Prosperity Advisory Group, (www.prosperityworks.com) founded in 1989, is located in Overland Park, KS. Our firm currently has 19 staff members. We have experienced consistent growth, which we attribute to exceptional people providing exceptional client service.

The role of Director of Client Services is to effectively manage Prosperity's Client Service Team by applying industry knowledge, systems management, and policies & procedures in order to ensure the delivery of outstanding client service to both existing and new clients.

In the performance of their respective tasks and duties, all employees are expected to conform to the following:

- Perform quality work within deadlines with or without direct supervision
- Interact professionally and collaboratively with other employees, clients, and vendors
- Work effectively as a team contributor on all assignments
- Work independently while understanding the necessity for communicating and coordinating work efforts with other employees and organizations
- Consent to and pass background checks including criminal and credit
- Comply with all policies and covenants set forth in the company Employee Handbook and other executed agreements

The Candidate must exhibit the following attitude, skills, and talents:

- Strong interpersonal communication skills and ability to deal professionally with clients and staff
- Self-starting, quick learner who can meet deadlines and accomplish tasks independently
- Solid internet research capabilities and strong personal computer skills with a proficiency of Microsoft Office Suite
- Ability to embrace change and work in a fast-paced environment
- Willingness to learn and teach
- Ability to prioritize numerous tasks and manage multiple projects
- Ability to recognize and escalate concerns to other members of the leadership team
- Ability to critically think "outside the box"
- Strong analytical skills and attention to detail
- Adherence to strict ethical and client confidentiality policies
- Maintain compliance in accordance with firm and industry policies and procedures
- Contribute to a respectful office culture and safe working environment

The Director of Client Services role and responsibilities will include, but are not limited to:

- Stay abreast of, and communicate to Service Team Members, industry and broker-dealer compliance practices, issues, and changes, including attending some broker-dealer and industry conferences
- Maintain personal CE requirements (Firm Element, Regulatory Element, Annual Compliance Meeting)

- Provide training and supervision to all Service Team Members for systems, firm guidelines, forms and documentation requirements, to ensure policies and procedures are consistently followed
- Educate Service Team Members on industry related topics and firm guidelines to ensure that all members, regardless of securities registrations, are well-versed in issues as they relate to Prosperity's client practice, and specifically in areas concerning compliance.
- Supervise the daily activities of Service Team Members to ensure the delivery of exceptional client service
- Conduct and document periodic performance reviews with Service Team Members
- Develop and mentor Service Team Members to assist them in identifying and pursuing their career path within Prosperity
- Instill a culture of leadership within the Service Team, encouraging Service Team Members to realize their impact as a member of the triad of professionals serving Prosperity clients
- Provide Client Metrics to leadership
- Encourage cross-departmental cooperation within Prosperity
- Manage the administrative aspects of all Prosperity initiatives
- Provide balanced, professional, solution-based guidance to Service Team Members
- Implementation and completion of special projects
- Contribute to the maintenance of CRM to ensure updated shared information
- Identify, review and address operational inefficiencies and opportunities to improve our capacity to deliver exceptional client service effectively and easily
- Oversee the maintenance of broker/dealer client data to ensure client information remains current and Books and Records Requirement is being met
- Assist in development of internal policies and procedures
- Serve as Service First Representative to a number of Prosperity clients
    - Develop client relationships, which includes ongoing and regular client contact and communications
    - Prepare for, Participate in, and Follow Up on Client Meetings
    - Review and maintain accuracy of client performance reports
    - Facilitate all client service needs, including but not limited to cash flow issues, beneficiary changes, address changes, rollovers, account registration changes
    - Implement new client procedures for a portion of clients new to Prosperity

Qualifications:

- Series 7 FINRA Registration
- Series 66 FINRA Registration or Series 65 and Series 63 FINRA Registrations
- Five years working in the securities/financial planning industry with an extensive understanding of the securities industry from an operations and compliance perspective
- Three years managing an operations team

This position is available immediately and will be filled with a quality candidate as soon as possible. This is a position in which salary is commensurate with experience level. Prosperity Advisory Group offers a core benefits package that includes health, dental & vision insurance, PTO, paid holidays, and 401(k).

Please forward resumes to: postmaster@prosperityworks.com

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