

Position Title:	Client Services Associate	Date:	
Role Reports to:	Operations Manager	Direct Reports:	
Role Purpose			
<ol style="list-style-type: none"> 1. Accomplish administrative responsibilities in client financial lives so that all advisory team members can effectively execute on responsibilities and roles in client financial advisory relationships. 2. Deliver and promote client experiences that optimize client satisfaction and retention. 3. Develop basic advice skills that enable progression and promotion to a Support Advisor position. 			

Key Accountabilities

#	Accountability	Activities	Time	Performance Benchmark
1	Proactively deliver and manage the client service experience within the firm.	<ul style="list-style-type: none"> • Proactively and promptly address client administrative matters to ensure all client service expectations are being met by the firm. • Collaborate with Lead Advisor, Associate Advisor, and Support Advisor to prepare for all existing and prospective client meetings. • Manage client queries regarding all non-advice issues (e.g., address change). • Set up clients on online client portal. • Prepare client letters, memoranda, etc., including appointment confirmation e-mails, firm introduction and location details, and provide any special instructions for the client meeting. • Make a proactive and personal commitment to understand client circumstances, issues, and goals. 	20%	<ul style="list-style-type: none"> • The client experience is consistently delivered during all client visits. • Existing and prospective clients feel comfortable and welcome. • Advisory teams are entirely prepared for all existing and prospective client meetings. • Non-advice-related client communications are accurate and enhance the client service experience with the firm. • Clients are utilizing online client portal.

#	Accountability	Activities	Time	Performance Benchmark
		<ul style="list-style-type: none"> • Maintain the client meeting room to ensure existing and prospective client experiences are personal and professional. • Promote role as the administrative point of contact for all ongoing client administrative queries and requests. 		
2	Coordinate advisory team calendars and communications for existing and prospective client meetings.	<ul style="list-style-type: none"> • Coordinate calendars of Lead Advisor, Associate Advisor, and Support Advisor. • Schedule existing and prospective client and advisory team meetings in accordance with established protocol. • Prepare confirmation correspondence for all existing and prospective client meetings. • Manage travel arrangements for Lead Advisor, Associate Advisor, and Support Advisor. 	15%	<ul style="list-style-type: none"> • Lead Advisor, Associate Advisor, and Support Advisor provide positive feedback specific to client communications and scheduling.
3	Maintain all client activities in CRM system.	<ul style="list-style-type: none"> • Enter client information into CRM system ensuring updates are entered daily or as they become available. • Monitor CRM system to ensure data completeness and accuracy. Ensure all personal client information is recorded. • Monitor all client account-related outstanding activities daily to ensure activities are completed on time. 	15%	<ul style="list-style-type: none"> • Information in CRM system is accurate. • Client account setup and ongoing account management activities are completed within required timeframes.
4	Provide implementation support for existing and new client financial advice recommendations.	<ul style="list-style-type: none"> • Prepare application forms to implement advice for new and existing clients. • Coordinate and monitor the implementation of all comprehensive financial plans and financial review action items as directed by advisors. 	35%	<ul style="list-style-type: none"> • Client documentation is accurate and delivered in a professional and time-sensitive manner.

#	Accountability	Activities	Time	Performance Benchmark
		<ul style="list-style-type: none"> • Manage all workflow processes (Open Activities) specific to advice implementation. Monitor status of client paperwork. • Proactively communicate and liaise with clients regarding status of implementation. • Collaborate with custodian to optimize operational support. • Collaborate with client and Portfolio Administrators on providing tax information to client tax advisors. 		<ul style="list-style-type: none"> • Implementation is completed within the agreed upon timeframes and to high-quality standards.
5	<p>Work closely with Lead, Associate, and Support Advisors to support client service efficiencies and the client experience.</p>	<ul style="list-style-type: none"> • Attend select (occasional) client meetings with Associate Advisor and Support Advisor to gain exposure to advice meetings. • Identify process inefficiencies related to client servicing and advice delivery and develop an approach to create more efficient client servicing processes. • Work with the Operations Manager and advisory positions to gain agreement on proposed process improvements and ensure systems and tools are implemented. 	10%	<ul style="list-style-type: none"> • Efficiency improvements are proactively identified and implemented enhancing productivity of the operations team.
6	<p>Maintain professional competencies and adhere to the firm’s ethical standards and cultural values.</p>	<ul style="list-style-type: none"> • Attend appropriate courses and participate in training and development to gain increased understanding of client servicing and general advice practices. • Adhere to the firm’s professional competencies, ethical standards, and cultural values. 	5%	<ul style="list-style-type: none"> • Training activities outlined in development plan are undertaken. • No breaches to firm’s ethical standards or cultural values.

Decision Making	<i>Independently</i>	<ul style="list-style-type: none"> The role is responsible for managing non-advice-related issues for new and existing clients to ensure the delivery of the client experience.
	<i>Refer to more senior roles</i>	<ul style="list-style-type: none"> The position is expected to refer all decisions relating to advice development and advice documentation to the Associate Advisor or Lead Advisor. Any matters that require expenditure or that affect or improve the current processes or operations of the business need to be referred to the Operations Manager.
	<i>Cascade down</i>	<ul style="list-style-type: none"> Although this position has no direct reports, it may require assistance from the Senior Portfolio Administrator in completing basic administrative tasks.

Key Relationships/Interactions

Internal:	External:
<ul style="list-style-type: none"> Lead, Associate, and Support Advisors to discuss preparation needs and client follow-up required for client meetings. Portfolio Administrator to request administrative support as necessary. Operations Manager on a regular basis to discuss operational matters and workload. Client Services Associate is required to discuss individual performance and development issues with the Operations Manager. 	<ul style="list-style-type: none"> Clients on a regular basis to address non-advice administrative matters, follow-up on advice implementation, and to ensure the delivery of client experiences. Custodian on a regular basis to optimize assistance and support.

Key Role Challenges

<ol style="list-style-type: none"> Continually improving workflow efficiencies and processes specific to client service delivery. Releasing the capacity of the advisory team wherever possible. Continually anticipating client needs.
--

Knowledge/Qualifications	Skills	Experience	Personal Attributes
---------------------------------	---------------	-------------------	----------------------------

Egan, Berger & Weiner, LLC

<ul style="list-style-type: none">• College undergraduate degree• Good understanding of financial planning processes and the stock market• Developing knowledge of financial planning and trading software• Developing basic advice skills	<ul style="list-style-type: none">• Good IT skills• Very good communication and interpersonal skills• Good analytical skills	<ul style="list-style-type: none">• Minimum of two years experience with a strong focus on client service delivery• Financial planning industry experience desirable	<ul style="list-style-type: none">• Excellent attention to detail• Ability to prioritize tasks• Ability to listen and take direction• Aptitude and willingness to learn• Displays initiative—thinks for themselves and finds solutions• Client- and team-centric• Mature, consistent, and reliable
---	--	---	--

**Investment adviser representative and registered representative of, and securities and investment advisory services offered through Voya Financial Advisors Inc. (member SIPC). Egan, Berger & Weiner, LLC is not a subsidiary of, nor controlled by, Voya Financial Advisors.
36541527_0820D**