



Title: Transition Coordinator
Division: Transition Services
Status: Full time, Exempt
Reports to: Transition Manager

December 2018

JOB PURPOSE SUMMARY

We are seeking energetic and reliable professional to join our team as a Transition Coordinator. The successful candidate will be able to assist the Transition Manager in effectively and efficiently on-boarding affiliate firms, advisors & staff.

KEY RESPONSIBILITIES AND DUTIES

- Assist the transition team to coordinate the on-boarding of new advisory firms, advisors and staff to Resources
- Collaborate with other departments & subject matters to support the on-boarding of the affiliate firm, advisors and staff
- Assist with prepping and processing transition paperwork and act as a contact for affiliate firms related to specific paperwork
- Lead new and transitioning account opening for Wealth Management accounts
- Assist with evaluating, implementing and maintaining the transition procedure to ensure the process is efficient and a positive experience for the affiliate firm, advisors & staff

QUALIFICATIONS

- This position requires conformity to legal and regulatory requirements and guidelines associated with FINRA, SEC & Resources Investment Advisors compliance.
- Understanding of investment accounts, registrations and compliance
- An undergraduate degree (e.g., Business, Accounting, Finance, or Economics) is required or equivalent work experience and at least two years of experience in the financial services industry (preferred experience in transition department or broker dealer/investment advisor firm)
- Must have excellent follow up skills and ability to interact in team environment that has a high level of energy and activity
- Must be computer literate & proficient in MS Office (Excel, Word, Power Point, Project)
- Develops effective working relationships across organizational lines
- Collaborates with other members of the organization to deliver results
- Projects a confident and intelligent presence
Readily selects a course of action when there is no clearly appropriate response