

Quad City Bank and Trust Company

Job Description

TITLE: Investment Center Operations Manager **REPORTS TO:** VP Investment Center

DEPARTMENT: Investment Center

LOCATION: Utica

JOB SUMMARY: Incumbent will coordinate all aspects of the operations and marketing activities of the Investment Center, which includes the brokerage (LPL) and Registered Investment Advisor business lines. Will supervise the Investment Center Administrative staff and be responsible for all operations of the Investment group. This position is actively involved in support of the Financial Advisor(s) in the sales and service of investment, fiduciary and insurance products through a full service brokerage platform and Registered Investment Advisor. Through this support, incumbent is accountable for assisting in the achievement of sales revenue goals as determined by management. This is accomplished through customer contact, client communication, relationship building, ongoing support of business development activities, referral activity management, etc.

ESSENTIAL FUNCTIONS:

- Develop and implement a marketing plan for the office. Coordinate all seminars, client communications, client appreciation events, materials, and proposals.
- Supervise all aspects of operations, including the administrative staff, compliance, processing orders, trade reports, processing checks, open accounts, maintain files, and account transfers.
- Financial Advisor for a book of business; grow, develop, and implement business development strategy.
- Management of 401k seminar education, enrollment, and marketing.
- Communicate with clients on trades, customer service items, and answer phones.
- Supervise the maintenance of CRM, client contact system, newsletter, client mailings, correspondence, and follow up calls.
- Support and tracking of required compliance processes and tasks.
- Provide all servicing and responsibilities for a select group of QCIC clients.
- Assist VP of Investment Center and Chief Compliance Officer with the oversight and supervision of the brokerage and advisory business.

QUALIFICATIONS:

- College degree in Finance, Economics, Marketing or Business preferred although relevant/equivalent work experience will be considered.
- Series 7 and 63 or 66 securities license, required
- Brokerage/RIA office or sales experience a plus.
- LPL platform experience a plus.
- Excellent computer skills with knowledge of Redtail CRM, Word, Excel, and PowerPoint.
- Strong communication and organizational skills.
- Ability to interpret and analyze financial information.
- Ability to supervise and motivate others.