



# Example of Investment Associate Job Description

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Our company is growing rapidly and is looking to fill the role of investment associate. To join our growing team, please review the list of responsibilities and qualifications.

## Responsibilities for investment associate

- Assist the client with estate issues and execute as requested
- Inform the client about his relevant tax forms
- Opening accounts as required and maintaining client files
- Produce monthly statistic reports
- Follow up of incoming and outgoing transfers
- Provide unparalleled service to our IAs and assistants during the migration of accounts to our Hybrid Model
- Establish effective working methods for the administrative management of client files
- Analyze customer accounts and make changes to IA codes as required
- Refer the client to the best channel according to the client's financial needs and objectives
- Reviews drafts (and checks drafts) of Statements of Investment Principles, Asset Transfer advice, Investment Strategy Reviews and Investment Manager Agreements and general letters of advice to clients

## Qualifications for investment associate

- Expert level interpersonal and communication skills with exceptional ability to adapt to various personalities and conversation styles
- Successful completion of the Canadian Securities Course and/or Conduct and Practices Handbook Course, a great asset
- Masters degree in business, engineering, computer science or related field

- Series 6, 63, Life & Health or willingness to obtain
- Working knowledge of MS Office, especially Microsoft Excel