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# Example of Registered Client Associate Job Description

Our company is looking to fill the role of registered client associate. We appreciate you taking the time to review the list of qualifications and to apply for the position. If you don’t fill all of the qualifications, you may still be considered depending on your level of experience.

## Responsibilities for registered client associate

* Place equity, mutual fund and fixed income trades for brokerage clients, process money market movements or account maintenance at custodian and in CRM system
* Build and maintain professional relationships with clients by assisting them and answering account questions
* Take initiative to handle account inquiries and customer needs and escalate to financial advisors when appropriate
* Adhere to compliance standards by obtaining and maintaining appropriate account documentation and communicate with clients about items needed
* Facilitate the transfer of funds and securities, complete trades in client accounts, and process checks, wires and ACH’s in a timely manner
* Inform clients about missing paperwork and securities or funds due in accordance with branch, complex, firm and compliance policies.<\/li>
* Work as a partner with existing CA
* Provide fundamental support to team by establishing strong client service relationships and assist in the business operation activities of a top performing team
* Process client and team requests for account servicing needs including opening of new accounts and processing all relevant paperwork, disbursing checks, wires and transfers and maintaining client confidentiality at all times
* Provide information to clients regarding opportunities to improve banking related services when available to them by proactively calling clients to educate and increase breadth of relationships

## Qualifications for registered client associate

* Ability to multi-task and manage work from several sources
* Customer-focused, results-drive, team player
* Intermediate proficiency with Microsoft Office (Excel, Word, PowerPoint, Outlook) and Salesforce.com, or comparable CRM program
* Understanding of operations system
* Positive attitude able to build great relationships with team members, clients & vendors
* Past or present Series 6 or 7, TX Group 1 licensing preferred but not required