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# Example of Registered Client Associate Job Description

Our innovative and growing company is searching for experienced candidates for the position of registered client associate. If you are looking for an exciting place to work, please take a look at the list of qualifications below.

## Responsibilities for registered client associate

* Resolving client inquiries and determining which issues require immediate elevation to the Financial Advisor (FA) or a member of the branch management team
* Investments enrollment
* Assisting clients in online enrollment
* Assisting clients through life events from the addition of a new family member to the passing of one
* Establishing new accounts, for individuals, families, entrepreneurs and established businesses
* Identifying clients that could benefit from specific initiatives & service offerings
* Running team’s business management metrics and updating team in team meetings
* Performing various projects for FA related to running the practice
* Provide fundamental support in all phases of client service, client relationship building, and assist the business activities of the Financial Advisor’s team
* Process daily request for clients and the Financial Advisors including, opening of new accounts, processing of all paperwork related to the opening of new accounts or existing accounts, processing checks and securities for clients, processing Fed Funds, JE, Broker Transfer in and out of client accounts and within associated accounts

## Qualifications for registered client associate

* Minimum of Series 6 or 7, 63 registrations and life, variable life, health and disability insurance licenses
* Must be a resourceful problem solver
* Must be capable of succeeding in a fast paced environment
* Demonstrated proficiency in all aspects of financial services operations performing wires, journals, new accounts, IRA Distributions, CRM database management (Salesforce preferred), Compliance Management (financial planning and various product/platform knowledge a plus)
* College diploma or equivalent with a minimum of 1 year experience in financial services
* Series 7 and 66 (or 63 & 65) licenses or ability to get licensed within 6 months of hire