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# Example of Registered Client Associate Job Description

Our company is searching for experienced candidates for the position of registered client associate. Please review the list of responsibilities and qualifications. While this is our ideal list, we will consider candidates that do not necessarily have all of the qualifications, but have sufficient experience and talent.

## Responsibilities for registered client associate

* Performs various administrative duties (i.e., typing, filing, answer phones, mailing documents/letters, ) and other duties and projects as assigned by the FA and/or Branch Manager
* Proficiency in computer systems (word, excel, back office functions)
* Basic knowledge of investment products is a plus
* Ability to navigate computer functions independently
* Series 7 & 63/65 or 66 registration strongly preferred
* Estate planning experience a plus

## Qualifications for registered client associate

* Industry experience and ability to obtain Series 7 and 63 or 66 within 9 months of employment
* Series 7 and 63 or 66 desired
* Series 7 and 63 or 66 required or ability to obtain within 9 months of hire
* Risk recognition and mitigation, including ensuring a deep understanding of and adherence to all policies and procedures
* 1-2 years relevant industry or internship experience preferred
* Firm will sponsor successful candidates for licensing when necessary