**Sample Job Description: Director of Operations**

*IMPORTANT: These job descriptions are samples only; customize each section to your firm and the specific role.*

**WHO WE ARE:**

{Company Name}, a growing wealth management firm, is seeking a Director of Operations to assist us in our mission of helping clients achieve their financial goals. This is your chance to play a key role in the future success of our fast-growing organization!

*Insert here: any awards or accolades the firm or owner has received. For instance, “Become a member of one of the most respected teams in the wealth management industry. XYZ Wealth Management Group was recently named #25 on Registered Rep’s list of the Top 100 Advisors.”*

*Insert here: any unique aspects of your culture, such as company core values and how your culture looks in real life.*

Our mission at {Company Name} is to {Insert Company Mission Statement}. If you have a relentless, burning desire to succeed and share our vision, then we would love to hear from you!

**WHO WE WANT:**

The Director of Operations plays a crucial role in the smooth functioning of the office. With overall responsibility for day-to-day operations, the Director of Operations must be able to work effectively with other staff members, clients, and the Wealth Advisor(s).

**WHAT TO EXPECT**

* Oversee the day-to-day business operations of the firm to align with firm’s strategy and goals.
* Manage the implementation and progress of firm strategic priorities.
* Manage the firm’s overall talent strategy:
	+ Work with the CEO to identify the operational and structural needs of the organization as the firm evolves.
	+ Manage all aspects of the hiring process.
	+ Conduct regular talent development and compensation reviews.
	+ Assist with implementation of all aspects of the human capital program, including benefits, policies, and procedures.
* Directly manage client servicing and operational associates, including the hiring, training, management, and development of those individuals.
* Oversee trading for the firm:
	+ Ensure timely execution of trades and account rebalancing.
	+ Review account transaction confirmations for accuracy.
* Ensure seamless delivery of all aspects of the client experience, including new client onboarding, client service, appreciation, events, and feedback.
	+ Oversee efficient and accurate creation and processing of new account forms.
	+ Manage client service process to ensure timely and accurate responses.
	+ Assist with the planning and execution of client events, including appreciation events and Client Advisory Council.
* Manage quarterly billing and reporting processes for the firm.
* Manage firm technology operations, including CRM optimization and technology coordination.
* Assist in development and implementation of the firm’s compliance program.
	+ Maintain compliance policies and documentation.
	+ Oversee the compliance and advertising approval process.
* Provide concierge service for top-tier clients in person, in writing, and over the phone.
* Provide leadership and team building that furthers the overall firm culture.

**WHAT YOU NEED:**

Requires:

* Prior management experience and a strong track record of leading and developing individuals.
* A bachelor’s degree or equivalent experience.
* Excellent knowledge of the securities industry’s rules and regulations.
* FINRA Series 7, 63, *(and 65 if needed for your Registered Investment Advisor).*
* Strong communication and interpersonal skills.
* Excellent organizational and time management skills.
* Excellent attitude and an extraordinary client service orientation.
* Ability to handle multiple tasks and operate within tight deadlines.
* Proficiency with Microsoft Office Suite.
* At least three years of experience in a financial services firm assisting with day-to-day operations.
* Attendance is an essential function.
* Salary is commensurate with experience.

In exchange for your expertise, we offer a base salary, bonus potential, 401(k) plus matching, health benefits, a potential for career growth, and a great working environment. This is your chance to play a key role in the continued success of our company. Our culture is fast-paced, motivational and focused on healthy living. Smokers need not apply. For more information about our company, please visit our website {Insert Company Website}.

If you’re interested in this opportunity, please send your resume and letter of interest to {Name and Email Address}.

We are an equal opportunity employer and all qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin, disability status, protected veteran status, or any other characteristic protected by law.