Client Service Associate / Registered Client Service Associate

Field Roles

Reports To: Branch Administrative Manager or Branch Operations Manager
Business Area: Branch Chief Operations Office

Job Summary	Your job, as a Client Service Associate, is to enhance the client experience by servicing clients and providing operational and administrative support to Financial Advisors. Your knowledge of firm policy, procedures and technology allows you to interface with clients and prospective clients, anticipate their needs, resolve their problems, and follow through to provide exceptional service. You perform administrative duties that support Financial Advisors in their daily business practices (e.g., client meetings, on-boarding new clients, marketing, etc). You support and drive firm initiatives and maintain risk awareness and regulatory knowledge. If you are Registered and appropriately licensed in a client/prospect state of residence, you will market products and services and represent UBS Financial Services Inc. and your Financial Advisor's business. You are client service oriented and a team player. You are detail oriented with proven organizational skills, able to manage time efficiently and can multi-task. You have proven written and verbal communication skills.
Key Tasks	The key tasks of your job as a Client Service Associate/Registered Client Service Associate include the following: **Relationship Management** • Educate clients on account services and capabilities (e.g., how to read statements/confirms, how to use Online Services, paperless options, RMA cards, etc.) • Collect appropriate documentation to set up new accounts • Leverage various communication channels to keep in touch with clients (e.g., send out birthday cards, e-mail research newsletters) • Process account service requests and ensure appropriate documentation • Direct incoming phone calls to appropriate team member **Wealth Management** • Input data into Financial Planning tools • Input orders within appropriate system and complete associated paperwork, **if registered** • Review daily branch reports and alerts and process accordingly • Assist in the preparation of client reports and other materials for client meeting. **Practice Management** • Organize logistics of team marketing events, develop and maintain team marketing materials • Maintain contact management systems with up to date key client information • Provide team with up to date calendar including daily, weekly, and monthly activities **Talent Management** • Proactively develop self to continuously improve knowledge, skills and credentials and communicate development needs to Senior Financial Advisor or Team Administrator as applicable • Assist with on-boarding new members to the team
Basic Qualifications	• 3 – 5 years of client service experience • Series 7 and 66 licensed required for Registered CSAs only • High School Diploma or equivalent required; College Degree recommended • Excellent skills in Microsoft Office Suite and other technologies • Detail and service oriented • Good written and verbal communication skills • Team player with good interpersonal skills

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The list below includes a set of competencies expected for this role. Employees in this role will be assessed against the competencies and competency levels listed here at least annually, during core cycle, on PMM.

Competencies assessed in PMM	Level 1	Level 2	Level 3	Level 4
Client Focus				
Communication & Impact				
Developing Self				
Drive & Commitment				
Integrating Diversity				
Planning & Organizing				
Problem Analysis				
Professional Behavior				
Resilience & Stress Management				
Teamwork & Cross Business Collaboration				
Knowledge				

To find detailed competency descriptions, please click here