affiance financial

Affiance Financial
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Job Description: Client Service Specialist

Job Title:	Client Service Specialist
Date:	05/14/2025
Reports To:	Megan Pace
Direct Reports:	0
FLSA Status:	Non-Exempt

Summary Description & Primary Role

The Client Service Specialist is a key position in the firm with substantial client interaction. Accountabilities include the timely processing of non-trading-related service surrounding our new and prospective clients' investment accounts; following through and ensuring service items are completed, and providing prompt and courteous support to existing clients and prospective clients. Additionally, this position will often handle maintenance of various information systems including ongoing project-based work as firm needs require.

About Our Company

Affiance Financial, located in St. Louis Park, Minnesota, is a registered investment adviser (RIA) offering broad-based financial planning services to its clients. Affiance conducts its business according to the highest ethical and professional standards, consistent with all applicable statutes, rules, regulations, and internal procedures. We customize our financial planning services based on client needs and circumstances. For a given client this may include, but is not limited to, retirement planning, estate planning, insurance planning, investment planning, tax planning, and college-funding planning.

Essential Responsibilities

<u>Processing of Security and Annuity Business:</u>

- Complete and process fixed annuity, variable annuity and security applications according to notes
- Establish brokerage and asset management accounts
- Work with clients during office appointments to complete forms and applications
- Oversee the confirmation of all security and service transactions
- Maintain follow-up system for pending business and service issues

<u>Client Service:</u>

- Work with clients, third party administrators, custodians, trustees, mutual fund companies, the broker/dealer, financial planners and gift recipients to complete service work and resolve various issues on their accounts
- Assist clients with qualified plan processing questions, such as payouts or rollovers
- Prepare applications, transfer forms and other paperwork to clients for investment transfers
- Resolve all client service issues in person or through email, phone, fax or mail
- Regular communication with clients to gather general information or clarifications
- Work through meeting preparation with Financial Planners. Ex: inventory account beneficiaries as part of meeting prep

<u>Systems & Data Management:</u>

- Input client data and create tasks in client relationship management database
- Access information across various information systems and data sources – both in-house and vendor/custodian specific
- Scan, copy and file all pertinent paperwork per firm retention guidelines
- Complete other project-based tasks per evolving business needs

Qualifications Required

Education and Experience:

- Associates degree required, Bachelor’s degree preferred
- Three to five years of administrative/office experience in the financial planning/investment management industry, or a representative level of industry knowledge
- Securities and/or insurance licenses helpful but not required

Knowledge, Skills & Abilities:

- Ability to respect and maintain confidentiality, and maintain compliance with policies and procedures
- Excellent customer service orientation with strong verbal and written communication abilities
- Detail oriented with strong ability to follow-through with tasks to completion
- Ability to work both in the client services team and cross functionally with other areas of the firm
- Good understanding of investment management/financial planning industry language and concepts
- Ability to not take things at face value –look beneath the surface, hear what’s not being said– to ensure a thorough, appropriate handling of client-related tasks
- Ability to contribute to our processes and work within them, and discern exceptions to processes that are occurring
- Strong abilities in Windows and Microsoft Office Suite, particularly Outlook, Excel, and Word
- Experience with Charles Schwab and Salesforce CRM strongly preferred

Compensation and Benefits

- Competitive salary-based structure commensurate with experience
- Firm-sponsored medical, dental, disability and life insurance, with annual employer contribution to Health Savings Account
- 401(k) Profit-Sharing Plan with a generous employer contribution
- Paid holidays and personal days, in addition to an optional Summer Hours program
- Reimbursements for continuing education and other pertinent higher-education programs
- Matching gift program. We're committed to giving back to our community for worthy causes.
- Business casual work environment
- Hybrid work environment (remote and in-person)
- Complimentary investment management and financial planning services
- Company gatherings and events

Working Conditions and Physical Requirements

The position is situated in a professional office environment. While performing the duties of this job, the employee is regularly required to speak and listen. The employee is frequently required to walk, sit, stand, reach and use hands in an articulate manner. Specific vision abilities required by this job include close vision, color vision, peripheral vision, depth perception, and ability to adjust focus. The position does not require an individual to regularly lift items over 25 lbs.

Disclosures

This job description does not list all the duties of this position. The Client Service Specialist will be asked by leadership to perform other duties. This individual will be evaluated, in part, based on their performance of the responsibilities listed in this job description. Leadership has the right to revise this job description at any time. This job description is not a contract for employment, and either the employee or Affiance may terminate employment at any time, for any reason.

Contact

Please email your resume to careers@affiancefinancial.com.