



Job Description

Title: Operations Manager
Reports to: Kristina Alley
Status: Exempt
Date: 2021

Summary

The Operations Manager ('OM') supports Santa Fe Advisors ('SFA') by performing a broad range of functions required to provide a high level of service to our clients, operate an efficient business, and grow our client base. OM is a conscientious, professional and motivated individual who works effectively and efficiently in both an autonomous support role and team environment. Responsibilities include (but are not limited to) oversight and management of all operational activities, billing, compliance-driven record keeping, client service, vendor oversight and relations, and special projects. The range of responsibilities is broad and may change over time as business conditions and SFA's needs change. The OM is a core member of a small entrepreneurial team, and is expected to be flexible and adaptable, as business priorities require.

Primary Responsibilities

This is intended to be a representative, but not comprehensive, list of the position's responsibilities.

Operational Management and Maintenance

OM should be familiar with all operational activities of the firm.

- Follow and maintain established procedures.
- Ensure that procedures are being followed firm wide.
- Identify areas where existing procedures are insufficient and create or amend procedures.
- Audit procedures, as required, for regulatory compliance adherence.
- Provide SFA staff training related to operational procedures and software systems to ensure consistent and thorough utilization of such tools.
- Identify and evaluate operational, compliance and business risks through regular review and analysis of custodial, asset and client data for anomalies and outliers.
- Manage or monitor operational vendor and service provider issues, escalating as necessary.
- Primary responsibility for client fee set-up, calculation, and collection.

Compliance

OM will learn industry and SFA compliance requirements, and will work with the CCO to keep policies and procedures current, to support compliance within the firm, and to produce compliance reports as required. OM will take on a lead role in the event of a regulatory audit. OM will provide reporting and oversight for annual client reviews and new client onboarding processes. OM will coordinate, schedule and organize monthly oversight committee meetings.



Information Technology Management

OM will be the point person for all IT matters. They will trouble shoot and work closely with SFA's IT support to effectively support operations and relevant compliance. OM will monitor and evaluate the software used by SFA for best use, security compliance, possible alternative options and comparative cost.

Client Service and New Client On-Boarding

The OM and Client Service Manager ("CSM") must work closely and be in regular communication in order to provide seamless client service. As a back-up to the CSM, the OM is able to efficiently and accurately prepare all documentation required to onboard new clients. The OM will provide service to existing clients (including money transfers, securities transfers, new account openings, administrative account maintenance, etc.). The OM is the client service back up for the CSM. Time out of the office must be coordinated between the two positions.

Marketing Support

OM will assist with event planning and organization. OM is expected to attend SFA client events.

Other

OM will assist in special projects as required. OM will act with the highest integrity and ethical standards, and will represent SFA effectively and positively in the community at all times. OM will always act in a manner that puts clients' best interests first, and will be a trusted partner to other members of the SFA team. OM will be active in the community, and strive to build relationships that will grow SFA's reputation and business.

Preferred Background and Skills

- business operations and client service related experience
- financial services experience is a plus
- comfortable with financial numbers and spreadsheets
- strong technology and trouble shooting skills, particularly Excel and various software systems
- consistent attention to detail
- ability to handle multiple tasks while independently meeting deadlines
- problem solving skills
- strong desire to grow a business and work in an entrepreneurial environment
- good verbal and written communications, comfortable with interacting with colleagues and clients
- enjoys working with colleagues to build a successful team and provide seamless service to clients
- professionally curious and a life-long learner