



Santa Fe Advisors

Job Description – Client Service Associate

Title: Client Service Associate
Reports to: Kristina Alley
Status: Non-Exempt
Date: 2023

Summary

The Client Service Associate ('CSA') will work with Santa Fe Advisors ('SFA') partners and staff to service and grow our client base. Responsibilities will include (but not be limited to): client service, event management, record-keeping, office administration, and special projects. Thorough and timely client service and proactive internal teamwork are the main priorities at SFA. The Client Service Associate will be an important member of a small entrepreneurial team and is expected to be flexible and adaptable.

Primary Responsibilities

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

Client Service

- Administration and maintenance of client relationships. Work closely with relationship manager and team to provide thorough client service. Update and maintain aspects of client accounts including: address changes, trusted contacts, beneficiaries, non-SFA advisor information, banking instructions, securities transfers, etc.
- Process and coordinate money transfers, confirmation calls, paperwork completion and follow-up
- Keen attention to following procedures and client security safeguards
- Complete portions of the client relationship annual reviews, as assigned

New Client On-Boarding

- Work closely with the relationship manager and team to seamlessly guide new clients through the onboarding process in a professional and timely manner
- Learn to efficiently and accurately prepare all documentation required to onboard new clients

Office Administration

- Point person to answer office phones and greet office visitors
- Manage office, janitorial, and pantry supplies
- Pick up mail, overnight mail, office errands
- Meeting preparations: conference call and/or screen set-up (Zoom, video meetings), conference room preparation and clean up, printing handout materials, meal ordering and pick-up
- Mailings: client and prospect mailings, holiday and birthday cards, client notices, performance reports, etc. Both electronic and paper distribution

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Santa Fe Advisors

- Internal meeting coordination: scheduling, ensure consistency
- Prepare expense reports, maintain receipts, and related recordkeeping

Marketing Support

- CSA will not be expected to win new client business, but will be expected to be additive to SFA's marketing success and represent the firm in the community
- Prepare marketing materials for prospective client meetings and business development events
- Maintain client relationship management (CRM) database

Event Management

- Monthly strategy meetings: maintain invitation list, send invitations/reminders, set up conference room, phone and electronic set-up, report attendance
- Client and prospect events: assist with planning, budgeting, invitation mailings, event coordination (location, food, beverages, etc.), handout materials, etc.
- Attend SFA events

Compliance

- Learn industry and SFA compliance requirements, including personal requirements
- Work closely with the team to prepare monthly Oversight Committee meetings
- Assist with the maintenance of policies and procedures
- Produce certain compliance reports
- Assist with preparations for regulatory audits

Other

Act with the highest integrity and ethical standards. Represent SFA effectively and positively in the community. Put clients' best interests first, maintain client and firm confidentiality, and be a trusted partner to other members of the SFA team. CSA will be active in the community and strive to build relationships that will grow SFA's reputation and business.

Background and Skills

- Enjoy working with people in a service capacity
- Ability to work with colleagues to build a successful team
- Work independently with minimal supervision
- Clear and accurate verbal and written communication skills
- Desire to grow a business and work in an entrepreneurial environment
- Attention to detail including follow-up to complete tasks and projects
- Ability to handle multiple tasks while meeting deadlines
- Adept with computers, networked drives, navigating software systems, client relationship management systems, and Microsoft Office products including Excel, Word, PowerPoint, and Adobe