



SMITH MOORE

Providing financial advice since 1913

Title: Operations Manager & Systems Integration Manager

Location: Clayton, MO

Reports to: Chief Operating Officer

Compensation: Commensurate with experience

Smith Moore's Operations Manager & Systems Integration Manager is responsible for oversight and day-to-day supervision of a highly experienced operations staff, as well as complete understanding and support of various systems used. This individual works closely with financial advisors and professionals, compliance and client associates to provide an excellent level of service to our clients.

Responsibilities

- Day-to-day management of operations staff, escalation and resolution of issues both within Smith Moore and external parties. Hire, train and develop future operations staff.
- Thorough understanding and compliance of firm and regulatory policies and procedures.
- Responsible for approval and review of various workflow processes including the approval of client document submission to clearing firm.
- Review daily reports from clearing firm. Monthly review of clearing firm settlement statement to include identification and allocation of charges to financial advisors.
- Understand core systems utilized through our clearing firm as well as Smith Moore. This responsibility includes proficiency in each application to include training and continued support of each. Systems include new account opening, performance reporting, advisory fee calculation, CRM, electronic signature platform as well as others.

Requirements

- Ethical, knowledgeable, fair, reliable, collaborative, ability to maintain confidentiality and possessing a strong work ethic.
- 5+ years of experience in financial services (Broker Dealer and/or RIA)
- Proficient in Microsoft Excel, Word, PowerPoint, Outlook, TEAMS with aptitude for technology
- Series 99 required. Series 7, 66 and 24 licenses to be obtained within a mutually agreed upon timeframe
- Strong communication and interpersonal skills to be able to discuss issues with management, home office and branch office personnel.

Interested candidates should forward resume and cover letter to: careers_operations@smithmoore.com