

## **Chief Operating Officer**

Clifford Swan Investment Counselors  
Pasadena, California

### Firm Overview

Clifford Swan Investment Counselors is an independent, 100% employee-owned registered investment adviser serving high net worth individuals, families, and not-for-profit organizations. With over \$3.5 billion in assets under management and approximately 750 high net worth and institutional clients, Clifford Swan is committed to providing objective investment management and financial advice with personalized, responsive client service. Our longstanding success as a firm is rooted in our values, which prioritize putting our clients first and adhering to the highest ethical standards.

### Position Overview

As a member of the Management team, the Chief Operating Officer (COO) will oversee the design, enhancement, implementation, reporting, and oversight of the firm's financials, operations, human resources, and compliance. Reporting to the CEO and working as a key member of the firm's leadership team, the COO will take a leadership role in building, implementing, and overseeing all of the firm's systems, processes, workflows and procedures. The COO will also play a critical role in helping to shape and guide the future growth and development of the Clifford Swan.

### Job Responsibilities

- Work closely with the Clifford Swan senior management team to create, implement and roll out and/or improve plans for operational processes, internal infrastructures, reporting systems and company policies designed to foster growth, firm profitability, efficiencies and ensure excellent client service
- Supports the CEO and leadership team in contributing to the business plan
- Manages all resources required for business, including technology and people
- Manages the overall strategy, purpose, and vision of the entire financial function: Create and manage budget and internal and external financial reporting. Responsible for client billing and revenue collection as well as bill payment
- Responsible for the overall strategy, purpose, and vision of the Human Resources function: benefits, payroll, 401k, recruitment, learning and development, culture, performance management, and succession planning
- Responsible for all operating and IT functions
- Provides timely, accurate and complete reports on the operating condition of the company, including the development of measurement tools (KPI's) to gauge the efficiency and effectiveness of internal and external processes.
- Works closely with the CEO in reporting to CSIC's Board of Directors on financial matters as well as the Company's strategic initiatives

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- Forge strategic partnerships and relationships with vendors, banks, and other professional business relationships
- Foster a growth-oriented, positive, encouraging, and collaborative environment while keeping employees and management accountable to company policies, procedures, and guidelines

### Qualifications

- Five plus years prior wealth management or financial services industry experience preferred
- Leadership and management abilities to oversee the firm
- Able to see the big picture and plan out details
- Reliable, follows through on commitments, and meets objectives
- Strong process and planning orientation
- Goal-oriented, task-driven
- Enjoys being part of the team
- Willingness to take on new tasks with a general entrepreneurial attitude that no task is too small, impossible, or cannot be improved
- Ethical
- Strong quantitative, analytical, and communication skills
- An ability to assign priorities to multiple concurrent, competing requests while ensuring accuracy, completeness, and timeliness
- Candidates must be eligible to work in the United States without sponsorship or restrictions

All applications must include a resume and cover letter. Please send this information to Gretchen Lee via email at [GLee@cliffordswan.com](mailto:GLee@cliffordswan.com).

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