CLIFFORD SWAN
INVESTMENT COUNSELORS

Client Service Specialist
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 $3.8 billion in assets under management and approximately 950 high net worth and institutional clients, Clifford Swan is committed to providing objective investment management based on rigorous investment research and financial advice with personalized, responsive client service. Clifford Swan embraces a culture of mutual respect among colleagues, staff and leadership who remain rooted in the clarity of our founders' timeless values – client-first focus, highly personalized service, attention to detail, and complete commitment to our clients' financial success.

Position Overview

The Client Service Specialist works within a collaborative culture of experienced investment professionals to deliver wealth management services to Clifford Swan clients. As Investment Counselors, Clifford Swan is committed to a fiduciary standard of care in providing objective, professional investment advice and portfolio management to our clients. The primary duty is to assist the Investment Counselor in the fulfillment of client needs. This role requires knowledge of processes, strong communication skills and being a reliable team player. Client Service includes all of the support activities and tasks necessary for the successful implementation of portfolio management and investment counseling strategies in the achievement of our clients' goals.

Job Responsibilities

- Effectively identify needs of client and execute solutions
- Accurately determine resources required
- Act as liaison representing client with internal and external relationships
- Be trusted team member: Develop and maintain strong collaborative relationship with Investment Counselor and be a dependable member of CSS team
- Respond to all client requests in a timely and professional manner
- Be pro-active to meet anticipated needs of client and counselor
- Prepare and distribute client monthly/quarterly account and tax reporting statements
- Customize solutions to client concerns built on collective knowledge
- Assist with meeting scheduling and preparation
- Back up other client service team members as directed by Client Service Manager
- Comply with existing compliance procedures and custodial requirements

- Maintain Salesforce and Orion (client investment accounting and reporting system database) and interface with custodians to monitor clients' accounts (registration, security, cost basis match, and transaction review and coding)
- Maintain orderly client files, purging old reports and unnecessary working papers
- Ensure client and staff confidentiality

<u>Qualifications</u>

- Bachelor's degree or equivalent experience
- 3 to 5 years work experience in financial services industry
- Proficiency in Microsoft Office, experience with Salesforce and Orion a plus
- Ability to work both independently and collaboratively as part of a team
- Ability to assign priorities to multiple concurrent, competing requests while ensuring accuracy, completeness, and timeliness
- Excellent communication and interpersonal skills
- Flexible and willing to perform other tasks
- Ability to adapt to change
- Candidate must be eligible to work in the United States without sponsorship or restriction

Expected base salary for the role will generally be $60,000 – 75,000 per annum at the commencement of employment. However, base salary if hired will be determined on an individualized basis and is only part of the total compensation package, which, depending on the position, may also include other forms of compensation such as, discretionary bonuses, incentive packages, and firm-sponsored benefit programs.

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

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