



Operations Specialist

Lion Street Financial, LLC. is a registered broker-dealer, and Lion Street Advisors, LLC is a registered investment advisor. Our company is seeking an experienced Operations Specialist who can provide exceptional customer service and support to independent financial professionals and their staff. This is a full-time position in Austin, TX.

Overview

The Operations Specialist is responsible for servicing new and existing firms with Broker-Dealer and RIA business with high attention to detail.

Primary Responsibilities

- Provide back-office operational support to firms by phone and email
- Process and approve new account and maintenance requests through our ticketing system and account workflow platform according to established department policies and procedures
- Deliver customized and on-demand training and education to firms on policies, procedures, and processes
- Execute technology access requests and provide training for various platforms
- Serve as liaison between firms and our vendors for research and escalations
- Create and deliver online presentations to relay new initiatives, processes, and information
- Lead and assist with projects
- Maintain blotters for transitioning firms
- Input client and account data for accounts for transitioning firms
- Receive, distribute, and process mail
- Coordinate with team members to manage phones during business hours
- Actively participate in team and firm meetings
- Adhere to and support regulatory mandates
- Maintain client confidentiality and preserve the integrity of company records and documents
- Other duties and responsibilities as assigned to support the growth of Lion Street and our Owner Firms

Skills and Experience

The ideal candidate should possess operations experience in the financial services arena. Knowledge about FINRA and SEC regulated Broker-Dealer/RIA is a plus. Familiarity with Pershing and their systems is preferred.

- Ability to work successfully in a team environment
- Exceptional verbal and written communication skills
- Excellent documentation and data entry skills with high attention to detail
- Strong organization and time management skills with the ability to prioritize
- Ability to empathize and build relationships on a personal level
- Advanced technical skills with Microsoft 365 (Word, Excel, PowerPoint, Outlook, etc.)
- Familiarity with scheduling and hosting Zoom meetings
- Ability to problem-solve and provide creative solutions
- Capable of handling multiple tasks and responsibilities
- Ability to work independently and take initiative while being part of a team
- Proven work ethic with a high level of integrity to build trust with our clients and colleagues
- Demonstration of professionalism, accountability, customer/client focus, and teamwork
- Knowledge of Appointments, Life Insurance, and Annuity products is preferred

Educational/Licensing Requirements

- 3+ years' experience in the financial services industry
- College degree preferred
- Series 7

Benefits

Lion Street offers full benefits to full-time employees, which includes:

- Competitive compensation package (annual bonus eligibility)
- Medical, dental, vision and life insurance
- STD/LTD
- Paid Time Off
- Safe Harbor 401K Plan
- Located in downtown, we offer a gym discount, provide commuter allowance, and a great view of Austin
- Company provides snacks, assorted beverages and a stand-up desk workstation

Lion Street, Inc. is a privately held financial services distribution company based in Austin, Texas. Lion Street provides elite independent financial professionals, many of which have roots in the life insurance industry, access to the financial products, intellectual capital, and specialized resources they need to meet the sophisticated financial planning needs of their high-net-worth and corporate clients. Lion Street Financial, LLC and Lion Street Advisors, LLC are also based in Austin, Texas. Founded in 2010, Lion Street is managed by a team of experienced industry veterans.

NOTE: The information on this description has been designed to indicate the general nature and level of work performed by employees within this classification. It is not designed to contain or be interpreted as a comprehensive inventory of all duties, responsibilities and qualifications required of employees assigned to this job.



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