



Operations Processor

Lion Street Financial, LLC. is a registered broker-dealer, and Lion Street Advisors, LLC is a registered investment advisor. Our company is seeking an Operations Processor 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 Processor is responsible for processing brokerage and direct accounts with a high degree of accuracy.

Primary Responsibilities

- Review account paperwork for completeness
- Open brokerage accounts, initiate transfer requests, and add account features for transitioning firms
- Submit change of broker/dealer requests to vendors and follow up to ensure all requests are completed correctly and in a timely manner
- Record and maintain vendor contact information and processing requirements
- Process new account and maintenance requests through our ticketing system and account workflow platform according to established department policies and procedures and service level standards
- Receive, distribute, and process incoming and outgoing mail
- Participate in projects under the direction of the project lead
- Coordinate with team members to manage phones during business hours
- Actively participate in team 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 account processing experience in the financial services arena or related field. Familiarity with Pershing and their systems is preferred.

- Ability to work successfully in a team environment and take direction from other team members
- Exceptional verbal and written communication skills
- Excellent documentation and data entry skills with high degree of accuracy and attention to detail
- Strong organization and time management skills with the ability to prioritize
- Ability to function in a fast-paced environment while maintaining quality of work and accuracy
- Proficiency in Microsoft 365 (Word, Excel, and Outlook)
- Ability to problem-solve and provide creative solutions
- 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

Educational/Licensing Requirements

- 2+ years' experience in the financial services industry or related field
- High school diploma required
- College degree preferred
- Series 99

Benefits

- Competitive compensation package
- Medical, dental, vision and life insurance
- Voluntary disability
- Paid time-off
- 401K with company match

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.