NEXT PHASE
ADVISORY GROUP
NORTHWESTERN MUTUAL PRIVATE CLIENT GROUP

Investment Operations Associate

The position will play an integral role in supporting our Private Wealth Management Team with daily Investment needs. This role will be an intermediary in trading and asset movements for clients. As well as providing information services for various types of financial transactions, including, Portfolio construction & rebalancing in highly technical areas.

- **Major Areas of Responsibilities:**
    - Provide Financial Advisors with clear communication regarding requests/inquiries
    - Process asset movements such as: Check deposits, contributions, Fedwire, transfers, etc
    - Continuously learns new and existing processes to adhere to regulations
    - Acts as a subject matter expert on SEC Reg BI, DOL Regulation, and investment services
    - Effectively executes all service transactions (e.g., shared logs, ACH setup, account opening/closing, Select Link, AMA check writing setup, etc.)
    - Provides communication to Supervision, Centralized Services, and advisor teams on updates regarding requirements and regulations
    - Exercise's ownership and ensure all follow-up items are complete or handed off to the appropriate individual(s) and work harmoniously with multiple team members
    - Show initiative, empathy, and proactively prevent and handle escalated situations with Advisors
    - Take on special projects within the department

- **Required Job Knowledge, Skills and Abilities**
    - 1-3 years relevant experience
    - Bachelor's degree preferred
    - Attention to detail, ability to prioritize, multitask and meet deadlines
    - IL Life and Health Insurance License required within first 90 days of hire
    - Series 7 and Series 63 required within the first year of hire
    - Experience with Pershing NetX360 platform and ENV2 is a plus
    - Experience with Shared logs system is a plus
    - Remain current with continuing education and technology transitions
    - Broad knowledge and experience with MS Office applications

Please submit resumes (with cover letter) to phil.roberts@nm.com