

Client Services & Operations Manager Job Description

Job Summary Nia is a women-led impact investment firm dedicated to social justice and environmental sustainability. We are seeking a Client Services & Operations Manager to support the growth of our firm. Join a small, innovative, high-production team empowering investors to align their assets with the next sustainable and inclusive economy.

The top priority of this role is to support our client service needs while demonstrating the dedication, professionalism, and attention to detail required to nurture and grow our client base. You will oversee the day-to-day operations of the firm and support the team on a variety of important tasks including compliance, marketing, portfolio company engagement efforts, and investor reporting.

The ideal candidate is a self-starter with the discipline and drive to work effectively in a fast-paced environment. The ideal team member also has excellent writing and editing skills, with a strong attention to detail. We value teamwork, honesty, positivity and high moral standards. Prior experience in a client services role within financial services is preferred.

Position Description Title: Client Services & Operations Manager

Type: Full Time

Location: Impact Hub Oakland 2323 Broadway Oakland, California (currently remote during the COVID-19 Pandemic)

Application Window: Open until filled

About Nia Nia is the Swahili word for intention and purpose. Our women-led firm designs impact investment portfolios with intention and purpose. We assist individuals, organizations and institutions in investing in the public markets. Our portfolios are built with strong social justice values for a sustainable and inclusive economy. We are an activist firm and use our investor voice to foster systems change.

RESPONSIBILITIES

Client Services

- Manage opening and closing of client accounts; help clients complete Investment Management Agreements and custodial forms
- Provide client relationship management by monitoring client communications and completing client requests, and optimizing the client experience
- Assist advisor in servicing clients including preparing financial plans, conducting investment research and completing account transactions
- Monitor and initiate service requests with custodians on behalf of client

- Complete detailed client forms for custodians (new accounts forms, limited power of attorney forms, etc)
- Contribute to quarter-end reporting process
- Continually research and implement efficient and effective policies and procedures for client service/reporting expectations
- Support and provide guidance for compliance within the advisor's practice
- Organize and maintain client files and data
- Monitor platform alerts for various custodians

Operations and Compliance

- Oversee day-to-day operations of the firm, including participating in weekly team meetings and daily check-ins
- Work with external compliance advisors and internally with operations management team to create, drive, and execute Nia's compliance program including performing periodic internal audits and leading any audit follow-through to resolution
- Implement, streamline, and maintain technology solutions such as Asana, Active Campaign, ShareFile
- Prepare, file, and maintain corporate records
- Review and draft legal agreements
- Collaborate across internal and external teams to complete Requests for Information and Due Diligence Questionnaires
- Prepare quarterly/annual compliance reporting and ADV updates
- Complete documentation for industry certifications
- Work with bookkeeper to maintain company financials and file annual tax returns
- Responsible for quarterly database reporting
- Support portfolio engagement campaigns
- Create and manage pipeline of potential platforms for product availability
- Attend annual conferences for ongoing professional development
- Assist in preparation of marketing collateral including quarterly fact sheets, presentation slides, and investment reports
- As a team editor, perform final reviews for company published documents (Marketing documents, Due Diligence Questionnaires, Operational Manuals, Regulatory Filings)

COMPENSATION Commensurate with experience. Nia offers a competitive benefits package including medical, dental, and paid time off.

TO APPLY Email resume, cover letter, and references to:
info@niaimpactcapital.com

Nia Impact Capital is an equal opportunity employer. Women and People of Color are strongly encouraged to apply.