TD Wealth

Client Service Associate

Private Investment Advice

Department Overview

TD Wealth Private Investment Advice (PIA) is a full-service brokerage ideal for investors who are looking for professional, custom-tailored wealth planning and investment solutions, while maintaining participation in the decision-making process regarding their financial affairs. We work one-on-one with clients to design and implement a comprehensive investment strategy, recommend customized investment solutions and provide on-going portfolio monitoring and performance reporting aimed at enhancing the client's financial success over the long-term.

Role Overview

Job Description

The Client Service Associate will provide quality, efficient and specialized administrative support on multiple and diverse assignments. This position will provide dedicated support to an Investment Advisor (IA) or team of IAs, and may also provide support to other branch staff.

The role will involve a fair degree of complexity and will include, but is not limited to, the following accountabilities

Client - Service & Administration:

Support IA(s) with book of business maintenance and development:

- Provide consistent and accurate administrative support to IA(s)
- Prepare all documentation and provide updates to IA(s) in preparation for client meetings
- Accept/create leads & ensure correct referral coding on TD Leads
- Submit marketing pieces for approval and compile client information packages; maintain marketing materials & mail outs via Marketing Express
- Familiarity and adherence to compliance requirements as outlined in PIA's policies and procedures. This includes all aspects of new and existing account documentation and marketing materials.
- Client service which includes sound operational execution based on knowledge of full service brokerage
- Deliver a legendary (gold standard) client experience

Business Operations - Product & Process Knowledge

Primary contact for maintenance of up to date client files and the processing of account documentation/instructions:

- Work with other departments to manage/process client requests for resolution in a timely manner
- Execute market orders and respond to client enquiries promptly and accurately
- Maintain complete client files and ensure documentation is in good order
- Assist IA with daily tracking of transaction summaries, client activity to identify/prevent any errors or omissions
- Demonstrate knowledge of, and comply with, all compliance regulations, securities laws, risk & confidentiality requirements and the TD Codes of Conduct & Ethics
- Be aware of and maintain knowledge of financial markets and current/world events

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Financial:

- Sales support by identifying sales opportunities/reciprocal referrals and assist IA(s) in preparation for client meetings
- Provide market quotes and track Dividends, RSPs, RIFs
- Create reports for analysis of client accounts
- Understand TDW PIA Product offerings and unique investment instructions
- Actively support the IA and branch in achieving the branch's annual business goals and reciprocal referral goals

Employee/Community:

- Participate fully as a member of the team and contribute to a positive work environment
- Active involvement in CSA/Branch meetings & sharing ideas
- Build and continue to develop skills and knowledge maintaining all required licensing and accreditation
- Establish and maintain a professional development career plan
- Promote a positive image of TD Wealth and TDBG as "One TD" within the community
- Support an inclusive and diverse workplace

Job Requirements

Education/Accreditations:

- *Required:* Completion of the Canadian Securities Course and Conduct and Practices Handbook
- *Required:* Licensed with Investment Industry Regulatory Organization of Canada (IIROC) as an Investment Representative (IR) or Registered Representative (RR)
- *Desirable:* Undergraduate Degree or Community College Diploma preferred

Other Qualifications/Skills/Experience:

- Possess excellent communication skills
- Proven ability to deliver a high level of client service
- Detail oriented and highly organized
- Ability to work in a fast-paced and dynamic environment.
- Proficient use of firm software & MS Office Suite

Inclusion:

At TD, we are committed to fostering an inclusive, accessible environment, where all employees and customers feel valued, respected and supported. We are dedicated to building a workforce that reflects the diversity of our customers and communities in which we live and serve, and creating an environment where every employee has the opportunity to reach her/his potential.

TD is committed to providing accommodations. If you require an accommodation, we will work with you to meet your needs.