creativeOne
SECURITIES

Title: Client Relations Specialist
Department: CreativeOne Securities
Reports to: Operations Manager
Status: Full-time/Non-Exempt
Location: Overland Park, KS (onsite)

Elevate Your Career at CreativeOne!
Looking for a dynamic and rewarding career in financial services? Join us at CreativeOne, where we blend collaboration, innovation, and excellence to forge a path in the financial services industry. We pride ourselves on being a nationally recognized leader, devoted to empowering independent financial advisors with superior services.

We're Building a Better Financial Future, Together
We take immense pride in our work and are in search of like-minded individuals who are eager to make a significant impact. If you're ready to be a part of a team that's shaping the future of financial services, we'd love to hear from you.

Job Overview:
The Client Relations Specialist supports the daily operations of the broker-dealer by providing responsive, accurate service to registered representatives and their clients. This position is primarily responsible for processing brokerage account requests, supporting RIA (Registered Investment Advisor) and AUM (Assets Under Management)-based service workflows, managing queue work, and resolving inquiries related to new accounts, account maintenance, asset transfers, and securities transactions.

The role also supports processing of variable and RILA (Registered Index-Linked Annuity) transactions as a secondary function. The **Client Relations Specialist** serves as a key point of contact between the firm, its registered representatives, and clearing firm partners, ensuring all requests are handled in accordance with established service levels, policies, and regulatory guidelines. This role operates within a structured ops environment and contributes directly to the team's throughput, quality standards, and overall client experience.

Duties and Responsibilities include, but are not limited to:

- Process daily brokerage service requests including new account opening, account maintenance, asset transfers, and securities transaction support in accordance with firm policies and service level expectations.
- Support RIA and AUM-related service workflows including account onboarding, fee-based account maintenance, and advisor-directed transaction processing.
- Process variable and RILA annuity service requests as a secondary function, including application submissions, account updates, and carrier coordination.
- Review submitted documentation for completeness and accuracy; identify and communicate NIGO (Not In Good Order) items to registered representatives with clear resolution guidance.

- Manage and prioritize assigned queue work to ensure timely and accurate completion within established service level agreements.
- Respond to inbound inquiries from registered representatives and their clients via phone and email, providing clear and professional communication on request status, processing requirements, and account-related matters.
- Coordinate with clearing firm contacts (including Pershing/NetX360, SEI and Charles Schwab) to facilitate processing, resolve exceptions, and obtain status updates on pending items.
- Maintain accurate records of transactions, communications, and follow-up activity in applicable systems including Forms Logic and related platforms.
- Adhere to compliance and regulatory requirements on all processed work, escalating items that require supervisory review or present potential risk to the firm.
- Collaborate with team members and other business units to support special projects, process improvements, and firm initiatives as directed by management.
- Identify and communicate recurring processing issues, documentation trends, or workflow gaps to team leadership to support continuous improvement.

Requirements:

- Minimum 3 years of experience in brokerage operations, RIA/AUM servicing, or broker-dealer client service within a financial services environment.
- Series 6, 63, or 7 license preferred; candidates without a license but with qualifying industry experience will be considered and supported through sponsorship to obtain licensure within 180 days of employment.
- Demonstrated knowledge of brokerage account workflows including new account processing, asset transfers, and account maintenance.
- Familiarity with RIA or fee-based advisory account servicing and associated operational requirements.
- Familiarity with broker-dealer operational systems including Forms Logic or similar workflow and imaging platforms a plus.
- Strong attention to detail with the ability to identify errors and NIGO conditions accurately and consistently.
- Ability to manage multiple open items simultaneously and prioritize effectively under deadline pressure.

Core Competencies:

- Strong organizational skills with the ability to manage competing priorities, shifting demands, and time-sensitive deadlines.
- High level of accuracy and thoroughness in processing work; maintains quality standards even under volume pressure.
- Clear and professional written and verbal communication skills; comfortable interacting directly with registered representatives and external partners.
- Effective problem-solver with the ability to research issues, identify root causes, and drive requests to resolution.
- Collaborative team contributor who supports peers, shares knowledge, and maintains a positive working environment.
- Self-motivated with the ability to work with minimal supervision and escalate appropriately when needed.

Our Core Values:

- *Provide Unreasonably Excellent Service*
- *Love What We Do*
- *Act with Integrity*
- *Collaborate Courageously*
- *Evolve with Purpose*

Preferences:

- 3+ years of brokerage or RIA operations experience within a broker-dealer, custodial, or independent advisory firm strongly preferred.
- Direct experience with Charles Schwab or Pershing/NetX360 platforms strongly preferred; candidates with hands-on clearing firm platform experience will be prioritized in the selection process.
- Prior experience with variable annuity or RILA product processing a plus; familiarity with the distinction between securities-based and insurance-based annuity workflows preferred.
- Familiarity with FINRA regulations and broker-dealer compliance requirements as they relate to new accounts, account servicing, and Reg BI obligations.
- Experience using workflow management platforms, imaging systems, or electronic forms processing tools.
- Associate or bachelor's degree preferred; equivalent industry experience accepted in lieu of degree.

This description covers the major purpose and major functions of the job. It is not intended to give all details or a step-by-step account of the way each task is to be performed. Employees may receive other job-related instructions and be required to perform other job-related duties requested by their supervisor. All requirements are subject to possible modification to provide reasonable accommodation to qualified individuals with disabilities.

CreativeOne provides equal employment opportunities to all employees and applicants for employment and prohibits discrimination and harassment of any type without regard to race, color, religion, age, sex, national origin, disability status, genetics, protected veteran status, sexual orientation, gender identity or expression, or any other characteristic protected by federal, state or local laws.