

## POSITION DESCRIPTION

Functional Title: Operations Manager-PCM

Effective: August 2014

**Reports to:** Senior Vice President, Research Analyst **Direct Reports to this Position:** Operations Assistant

**Exemption Status Based on FLSA:** Exempt (X) Non-Exempt ()

# **Job Description:**

This position is responsible for management of the back-office operations for Private Capital Management, LLC, a subsidiary of Guaranty Bank and Trust.

Private Capital Management, a subsidiary of Guaranty Bank and Trust, is a Registered Investment Advisor offering Investment Management and Financial Planning solutions to individuals and institutions looking for a high level of customization and personal service. The firm is growing rapidly and seeks an individual that thrives in a fast paced environment while remaining committed to delivering a high level of customer service and helping the company achieve its goals.

To learn more visit GuarantyBankCO.com or PCM-Inc.com.

### **Essential Duties:**

Employees are held accountable for all duties of the job. Individuals must be able to perform these duties with or without reasonable accommodations.

- 1. Demonstrates core values and guiding principles as outlined in the Bank's identity statement.
- 2. Ensures that all activities and work functions comply with compliance requirements as defined in company policies and procedures and state/federal laws and regulations.
- 3. All Managers are responsible for supporting an equal employment opportunity environment and additionally for taking action to prevent harassment and intimidation in the workplace.
- 4. Manages all back-office operational functions and operational staff of the firm.
  - a. Responsible for delegation of work load and responsibilities to ensure operational support is maintained at a high level at all times.
- 5. Required to demonstrate an understanding of the firm's key operational software by leveraging internal staff knowledge and external vendor support.
- 6. Must quickly gain knowledge of firm policies and procedures and must be willing to adapt current knowledge base to work within the firms existing procedures.
- 7. Ensure firm is in compliance with requirements as set forth by the Chief Compliance Officer.
- 8. Responsible for maintenance of portfolio accounting software (Portfolio Center) and troubleshooting issues in a timely manner as they arise.
- 9. Responsible for maintaining CRM system and portfolio accounting software in accordance with policies and procedures to ensure accuracy of reporting

#### **Non-Essential Duties:**

Performs other duties as assigned.

# Required Qualifications [Knowledge (Education), Skills and Abilities (KSAs)]:

- Bachelors degree
- 3-5 years of investment management back-office operational experience
- Able to work with little to no direct supervision
- Strong proficiency in Microsoft Excel and other Microsoft Office software
- Detail oriented and well organized
- Excellent consultative, interpersonal and communication skills

### **Preferred Qualifications:**

- Knowledge of Portfolio Center, SalesForce CRM and Assemblage document management software
- Experience managing employees
- Strong familiarity with Schwab Institutional and Fidelity Institutional account paperwork, procedures and advisor websites
- Experience with internal audits and external regulatory reviews

**Types of Decisions:** This position performs the job with infrequent consultation with superiors; is often asked to make independent decisions. Decision-making includes proactively determining new processes or systems that will be more efficient and/or save money, as well as reacting to errors discovered to resolve the immediate issue and also to ensure a similar error is not made.

**Consequences of Errors**: Errors may have a significant adverse effect on relationships with customers, other departments of the bank, regulatory authorities, employee morale and turnover of staff.

**Contact with Others:** Unlimited contact with customers and employees both in person and on the telephone. Must display quality of service showing courtesy, tact, and discretion at all times. Maintains a positive demeanor and displays excellence in service, keeping the banks image in mind at all times.

**Physical Requirements:** The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this job. Reasonable accommodation may be made to enable individuals with disabilities to perform the essential functions.

- Ability to lift 25 lbs
- Ability to sit for 4-5 hours due to numerous customer service duties
- Ability to stand for 4-5 hours due to numerous teller related duties

The above statements are intended to describe the general nature and level of work being performed. This job description should not be construed to imply that these requirements (job responsibilities and KSAs) are the exclusive standards of the position. Incumbents may be required to follow other instructions, and to perform other duties, and obtain other KSAs that may be required of the position.