



## POSITION DESCRIPTION

**Functional Title:** Assistant Operations Manager

**Effective:** July 2012

**Reports to:** President, Private Capital Management

**Direct Reports to this Position:** None

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

---

### **Summary of Job Responsibilities:**

Maintains awareness, understanding and compliance with Guaranty Bank and Trust's "Code of Ethics", internal policies and procedures, laws and regulations that are appropriate for his/her position.

The primary purpose of this role is to provide a variety of levels of support the in the Private Capital Management branch.

### **Essential Duties:**

***Employees are held accountable for all duties of the job.***

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. Responsible for ensuring complex filing systems and procedures are maintained in accordance with regulatory requirements.
4. Prepares detailed account documents for new accounts and account transfers.
5. Responsible for client software and client report generation.
6. Responsible for direct client communication and issue resolution.
7. Processes new account openings in compliance with regulatory requirements.
8. Ensures accuracy of cost basis information in portfolio management software and custodian.
9. Generates and monitor account wires, money-links, and journal requests.
10. Manages up-to-date account records of information within accounts.
11. Executes securities transactions and is responsible for the verification of accuracy of such transactions.
12. Responsible for direct client communication and some issue resolution.
13. Responsible for generating client account reports and documents.
14. Responsible for ensuring the accuracy of daily data downloads/reconciliation.
15. Manages all office functions such as maintaining supplies, answering phones, managing calendars and schedules.
16. Performs duties of the Operations Manager when Ops Manager is out of the office.

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

- Performs other duties as assigned.

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

- Associate's Degree.
- Strong administrative background in Financial Services with 3+ years of related experience
- Demonstrated ability to work independently.
- Excellent consultative, interpersonal, and communication skills.
- Proven success balancing the needs of multiple employees.

**Preferred Qualifications:**

- Bachelor's Degree
- Experience working with an advisor that has used Charles Schwab and/or Fidelity Investments as a custodian.

**Types of Decisions:** This position performs the job with infrequent consultation with superiors; is often asked to make appropriate exceptions to established policies and procedures. 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.*