

The **Team Lead / Associate Operations Director** is responsible for helping manage PWM's all trade operations functions and associated risk management oversight. In addition, the Team Lead / Associate Director will assist in managing updates to procedures, ongoing development of associates, managing business partner/vendor relationships, and ensuring compliance with established policies. Working with PWM management, the position will contribute to the development and implementation of middle-office organizational strategies and initiatives. May also include project management duties.

70% - Managing all functions related to trade operations and settlements including trade break resolution. Liaises with brokers and custodians to resolve trade discrepancies. Acts as an escalation point for trade-related issues impacting the traders and investment professionals.

15% - Ensuring the appropriate controls and tools are in place to manage, measure and actively mitigate operational risks across the trade operations functions.

5% - Assists with ensuring policies and procedures are followed, documentation is complete.

5% - Ensures department is audit ready and assists in both internal and external audits pertaining to the Investment Services Operations Division and its sub-teams.

5% - Actively participates in management team's effort to improve and scale the middle-office capabilities.

Qualifications:

- 2 to 5 years of financial services experiences at a premier brokerage firm or registered investment advisor/manager
- 2 to 3 years of experience dealing directly with investment trade operations including equities and fixed income
- 4-year college degree in business, MBA a plus- Series 7, 9/10 (or 24), and 66 licenses preferred - Proven history of providing extraordinary service
- Ability to further the Bank's culture and values
- Team player with positive energy- Task driven self-starter- Good organizational and time management skills
- Handles challenges head on with little guidance
- Ability to work under pressure in a fast-paced environment
- Ability to deliver assignments and projects on schedule
- Excellent verbal and written communication skills
- Solid trade settlements knowledge
- Experience with Pershing and NetX 360 preferable
- Knowledge of industry standard systems, i.e. Omgeo products.