# JOB DESCRIPTION

**Job Title:** Operations Specialist

**Department:** Operations **Location:** TMI - Georgia

**FLSA Status:** Non-Exempt **Last Revision Date:** 02/16/2021

**REPORTING STRUCTURE**: Reports to the Operations Manager, who reports to the Director of Operations.

**GENERAL FUNCTION**: This position is responsible for providing operations and administrative services for TMI’s IRA, Custody, Pension Benefit, ESOP, Corporate Trust and Transfer Agent accounts. Additionally, this role is responsible for providing world class customer service to TMI’s individual clients, affiliated broker/dealers and interested third parties through written and oral communications and ensuring accurate and timely processing of all activity for TMI customer accounts.

**MAJOR DUTIES AND RESPONSIBILITIES**:

* Support daily processing of IRA & Custody account transactions.
* Examples of transactions include new account set up, inbound transfers, outbound transfers, re-registrations, account maintenance, etc.
* Trade settlement and money movement support for Custody Accounts in the TNET Trust accounting platform with Fifth Third Bank as Custodian and in the AddVantage platform with Reliance Trust as Custodian; including Daily Cash Balancing, Daily SMAC Balancing, Daily Custody Reconciliation, TBA's & Foreign Trades, CD Purchases, Sundry Asset Updates, Maturities, & Rollovers and New Security Set-Up.
* Class Action Processing: including Class Action Quarterly Filing Report.
* Proxy Processing and Support; Advent, Evare and other data feed Support
* Identify the defects in business models and operations; conduct research, investigate workflows, business procedures, and recommend changes
* Work to improve TMI’s productivity and revenue making procedures
* Adapt existing Management Control Review Program (MCRP) to fit TMI’s current business environment, conduct the quarterly test and present results to management
* Prioritize and complete in-process operations projects to improve TMI’s efficiency
* Assist the leadership team with special projects which include; onboarding of new accounts and business lines, working with vendors on system enhancements to allow us to accommodate new opportunities, providing creative solutions and ideas
* Scan and index documents to client files
* Review and update appropriate sections of the departmental procedure manual
* Other duties as needed

**SKILLS & REQUIREMENTS:**

* BS, BA Degree, or equivalent work experience.
* Ability to work independently and/or remotely, under pressure and to be able to adjust to unpredictable work volume.
* Excellent verbal and written communication skills; Good problem-solving skills; Proficiency with Microsoft Office products
* Knowledge of basic IRA, Pension/Benefit and ESOP regulations and 1099 tax forms.
* Knowledge of securities industry and transfer agent regulations.
* Prior knowledge of the AddVantage, Trust Net and Corporate Universe systems a plus, but not required.

**PHYSICAL DEMANDS:**

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 accommodations may be made to enable individuals with disabilities to perform the essential functions. While performing the duties of this job, the employee is regularly required to stand, walk, sit, use hands, reach with hands and arms, and talk or hear.

### ACKNOWLEDGEMENT OF JOB RESPONSIBILITIES:

**Employee Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_**

**Manager Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_**