

**CETERA FINANCIAL GROUP
JOB PROFILE**

JOB TITLE:	Sr. Operations Coordinator		
Job Family:	Operations	Job Code:	OD004
FLSA Status:	Non-Exempt	Location:	Des Moines, IA
Date Completed:	July 23, 2010		

POSITION SUMMARY	Responsible for providing high level operational support for the broker dealer or mutual funds organization. Works on complex issues in the Operations Area.
-------------------------	--

<p>PRINCIPLE RESPONSIBILITIES <i>List and description this position's principal responsibilities in concise, comprehensive statements. This job profile is intended to be relatively generic and may be used across the organization. Responsibilities that are attributed only to one incumbent should not be listed unless they are so significant that they create a new position.</i></p>	<ol style="list-style-type: none"> 1. Provides operational, customer service, administrative and sales support in one or more of the Provides high level Operational, Administrative and Sales Support in one or more of the following areas. Typically deals with the most complex and largest accounts: <ul style="list-style-type: none"> ➤ Mutual Funds ➤ Retirement Products ➤ Annuities ➤ Certificates of Deposit ➤ Other investment products 2. Depending on area of emphasis may establish new accounts, ensuring all necessary documents are on file for clients. Maintain accurate and complete data on existing client files. 3. Respond to telephone inquiries from internal and external customers including registered representatives regarding account status, account changes and/or the account transfer process. Acts as a liaison between banks and account executives. 4. Perform various account calculations/reconciliations. This may include calculating interest and dividend payments, and/or processing incoming contributions and outgoing distributions. May send out maturity notices and work on maturity payments. 5. Provides account information to accounting and/or government reporting specialists. May maintain this information on various databases and run reports to gather this information. 6. May provide guidance to other Operations Coordinators. 7. Other duties as assigned.
--	---

<p>KNOWLEDGE, SKILLS AND ABILITIES <i>Education level, previous experience specific knowledge, skills and abilities required to meet the minimum requirements for this position.</i></p>	<ul style="list-style-type: none"> ▪ High school diploma or equivalent. ▪ 3 to 5 years related experience. ▪ Strong communication and organizational skills. ▪ Depending on emphasis, may require various securities licenses.
---	--

<p>ADDITIONAL INFORMATION</p>	<ul style="list-style-type: none"> ▪ Does the incumbent in this position have direct accountability for staff supervision/management? No ▪ Does the incumbent in this position have budget accountability? No ▪ Is travel expected to perform this job? No. If so, what percentage of time will be spent traveling?
--------------------------------------	--