STEGNER INVESTMENT ASSOCIATES, INC.

Client Operations Specialist

The Operations Specialist manages the daily activities within the Client Services Division and serves as an intermediary between the department and top management. This position supervises operations and administrative staff in the performance of their duties and is responsible for establishing and contributing innovative ideas for department processes, procedures and protocols.

I. Client Services - Operations

A. Provide operational supervision for client accounts
   1. Download and post daily transactions
   2. Post monthly transaction from all custodians
   3. Reconcile monthly statements from all custodians
   4. Respond to specific client requests

B. Provide supervision for operational activity in client accounts
   1. Execute trades online and by phone
   2. Confirm that all trades settle correctly
   3. Assure proper trade ticket and other document retention
   4. Monitor transfers of funds into new accounts

C. Provide supervision of client billings
   1. Notify custodians and clients of quarterly fees
   2. Track payments and generate summary reports for management

II. Client Services - Other

A. Provide supervisory support for client accounts over the production of:

   1. Investment report strategy reports in Excel spreadsheets
   2. Quarterly reports for individuals & institutions
   3. Quarterly reports for retirement plans

B. Establish & maintain client legal documents

   1. Supervise completion of new account applications & transfer forms
   2. Prepare, monitor receipt & update client contracts

III. Compliance

A. Support Chief Compliance Officer in the execution of the Firm’s strategic plan
B. Ensure that all operation procedures follow compliance protocol as determined by the SEC

IV. Support SIA team members

<u>Qualification preferences:</u>

- Minimum 4-year college degree with accounting, finance or economics major
- Minimum 3 years of operations experience with a registered investment advisor, brokerage firm, trust department or bank
- Series 63 or Series 65