

## Alternative Investments Operations Analyst

### Job Summary

#### Job Summary

Utilizes knowledge and skills gained through experience or training to lead and be solely responsible for the operational support for a specific set of alternative investment products throughout their entire life cycle including new product onboarding, ongoing investment servicing, and on occasion, termination of investment support. Guides Financial Advisors, and senior leadership in the resolution of complex problems and issues. Will be required to develop deep operational subject matter expertise on a specific set of investments in order to appropriately support the products and the Financial Advisors who recommend them. May support operational due diligence efforts on funds on the Raymond James platform. Will employ knowledge to conceptualize, plan, and execute a variety of process improvement initiatives that often will involve several areas of the firm outside of PCG Investment Products.

### Essential Duties and Responsibilities

#### Essential Duties and Responsibilities

- Interact with Raymond James Financial Advisors, senior leadership within both PCG Investment Products and Private Client Group, and management at alternative investment fund partners to troubleshoot service issues including, but not limited to, new investments, commission payments, pricing, client statements, and redemptions.
- Learn and employ basic technological concepts (e.g., data structures and database design) in order to work with Information Technology professionals in implementing process improvement and risk mitigation projects.
- May help run the operational infrastructure of Raymond James proprietary hedge fund and private equity funds. In addition, the individual may support operational due diligence efforts on funds on the Raymond James platform.
- Engage Raymond James Financial Advisors, alternative investment Fund Sponsors, and many home office departments to holistically support all operational aspects of the Alternative Investment platform.
- Required to submit client investments to fund sponsors, conduct client suitability reviews on

purchases, generate client trade confirms, update positions and valuations on client statements, pay Financial Advisor commissions, process redemptions, and maintain account performance details.

- Continually works with the Fund Sponsor to improve the Financial Advisor and client experience with respect to the investment.
- Evaluates opportunities to create efficiencies.
- Assists with more complex research and investigation. May prepare analyses of information.
- Assists in orienting and training new team members.
- Performs other duties and responsibilities as assigned.

## Knowledge, Skills, and Abilities

### Knowledge of

- Basic office practices, procedures and methods
- Basic accounting concepts
- Due diligence or operations area at a hedge fund, private equity firm, institutional consultant, or broker dealer
- Client disclosure concepts and client confirms
- All MS Office applications including an ability to work with more advanced Excel functions such as pivot tables and formulas
- Complex SEC rules that define client accreditation standards
- Basic database and technology concepts
- Increasing effectiveness and efficiency of business processes through technology
- Key internal and/or external contacts to request assistance from or utilize expertise
- FINRA and SEC rules

### Skill in

- Organization and time management sufficient to prioritize workload, handle multiple tasks, and meet deadlines
- Project Management
- Communicating effectively both verbally and in writing with detail and precision
- Critical thinking and problem solving with limited supervisory guidance
- Operating standard office equipment and using required software applications to produce correspondence, electronic communication and maintain spreadsheets and databases.

### Ability to

- Build solid, effective working relationships with others.
- Collaborate with IT to design, test, and implement projects.
- Coach others in the development of their skills.
- Execute instructions and request clarification when necessary.
- Provide courteous, timely service when addressing customer questions and concerns.

- Speak clearly and concisely.
- Convey information clearly and effectively through both formal and informal documents.
- Constructively work under stress and pressure when faced with high workloads and deadlines.
- Plan, organize, and coordinate work assignments.
- Promote team cohesiveness, cooperation, and effectiveness.
- Pay close attention to detail.
- Perform all functions with limited supervisory support and with a high level of accuracy.
- Multi-task, work in teams, self-motivate/take initiative, innovate, work independently, adapt, accept and lead change, meet deadlines

## Educational/Previous Experience Requirements

### Education/Previous Experience

- Bachelor's Degree or equivalent with a minimum of (3) three years' experience
- OR ~
- An equivalent combination of education, experience and/or training.

## Licenses/Certifications

### Licenses/Certifications

- SIE required provided that an exemption or grandfathering cannot be applied
- Series 7 and Series 99 or ability to obtain within one year
- CAIA Preferred

## Travel

### Travel Required

**Travel Required:** Yes, 10 % of the Time