

AVP/VP Operations Manager MountainOne Investments

About Us:

MountainOne is a mutual holding company headquartered in North Adams, Massachusetts. Banking, Insurance, and Investment products are offered at full service offices in the Berkshires (Pittsfield, North Adams, Williamstown) and on Boston's South Shore (Quincy, Rockland, Scituate). MountainOne is dedicated to the local communities we serve, with a mission of delivering solutions of real value that help individuals, businesses, and community institutions manage their financial lives with clarity and confidence.

- **MountainOne Bank**, founded in 1848, provides a complete array of personal and business banking and electronic services.
- **MountainOne Insurance** provides personal and business insurance, bonding services and group benefits solutions.
- **MountainOne Investments** provides individual investment services and group financial benefit plans (financial professionals offering securities and advisory services through Commonwealth Financial Network[®], Member FINRA/SIPC, a Registered Investment Advisor)

Position Description:

This role oversees the day-to-day administrative, operational and regulatory compliance functions of the investment division. The Operation Manager will have a close working relationship with the president and will provide information and reports necessary to assist with division oversight. This position will be hired as a VP or AVP depending upon level of education and related work experience.

Key Accountabilities and Responsibilities:

- Consistently demonstrates the MountainOne Customer Service Standard and holds employees accountable for upholding this standard.
- Maintain working relationship with Commonwealth; serve as expert regarding the platform, its reporting capabilities and related technical tools.
- Directly supervise non-registered/administrative staff of all locations and conduct performance reviews as required.

- Collaborate with president regarding systems, processes, compliance and personnel concerns to aid in the development of growth strategies, workflow initiatives and improvements in the client experience.
- Develop and standardize the client onboarding process by monitoring new account establishment reports and ensuring consistency with MO brand, policy and procedure.
- Standardize office practices and identify any gaps in each office to meet the division's objectives around consistency.
- Serve as main contact for Commonwealth, bank, regulatory and internal audits. Take lead, when appropriate. Coordinate and maintain documentation of responses, backup and any additional requested items.
- Serve as marketing bridge between Commonwealth and Bank to ensure materials are reviewed, compliant and retained.
- Act as a technical resource to all staff and mentor subordinate employees.
- Periodically review CRM data to ensure accuracy, consistency and timely input from staff members.
- Review and process compensation statements and produce accounting and payroll entries (semi-monthly). Track production for management purposes and answer revenue and expense questions from accounting department.
- Regularly prepare, under the direction of the division president, advisor/staff meetings to effectively train employees and review items as necessary including rule and policy changes, to ensure compliance and maintain documentation of such.
- Comply with applicable FINRA/SEC/Commonwealth and MountainOne policies, procedures and laws.
- Continually monitor and review operations policies and procedures and disseminate to and train staff as appropriate.
- Serve as the division lead for MO's vendor management and business continuity requirements and reviews.
- Maintain detailed records for all tasks, reviews and training initiatives in an organized manner.
- Provide oversight of new hire training plans and delegate accordingly.
- Actively provide feedback and support to division president on all matters relating to the business.
- Continual travel to branches as necessary for meetings, training, and to ensure consistency and oversight.
- Other Duties as assigned.

Qualifications:

- Strong integrator of enterprise-wide strategies
- Demonstrated leadership, compliance or audit background skills
- BS/BA, preferably in Finance, Economics, or Business Administration, or equivalent work experience required.
- 3-5 years' experience in the financial services industry, strongly preferred
- Previous supervisory experience, required
- Strong technology skills and competency in Word, Excel, Outlook and contact management software
- Excellent oral and written communications skills
- Ability to show discretion in confidential matters
- Detail oriented; strong math skills, decision-making ability

To Apply:

Please email your resume and letter of interest to: careers@mountainone.com. MountainOne is an Equal Opportunity Employer. All qualified applicants will receive consideration for employment without regard to race, color, religion, gender, national origin, age, disability, or veteran status. (Compliant with VEVRAA and Section 503 rules)

MountainOne Bank is Member FDIC. Member DIF.  Equal Housing Lender.

Insurance and Investments are not insured by the FDIC and are not deposits or other obligations of, or guaranteed by, any depository institution. Funds are subject to investment risks, including possible loss of principal investment.

The financial advisors of MountainOne Investments offer securities and advisory services through Commonwealth Financial Network®, member FINRA/SIPC, a Registered Investment Adviser. Fixed insurance products and services offered through CES Insurance Agency or MountainOne Investments. MountainOne Bank is not a registered broker-dealer or Registered Investment Adviser. MountainOne Bank and MountainOne Insurance are not affiliated with Commonwealth. MountainOne Investments' main office is located at 85 Main Street, Suite 100, North Adams, MA 01247. (413) 664-4025