Job Description

Employee Type	Full-Time Exempt
Department:	Tech Operations
Job Title:	Document Operations Specialist
Reports To:	TBD
Manages Others:	No
Minimum License(s):	None
Date:	10/6/2025

Nature and Scope

The Document Operations Specialist plays a critical role in supporting the operations team by managing document intake, classification, and digital paperwork processes. This position reduces the operational burden on advisors by handling these functions behind the scenes, allowing them to focus on delivering exceptional client service and driving business growth.

Essential Duties and Responsibilities

- Document Intake & Management
  - Receive, review, and process incoming client and internal documents from multiple channels (scanned images, digital uploads, e-signature platforms, etc.).
  - Ensure all documents meet compliance, privacy, and quality standards prior to classification.
- Classification & Indexing
  - Accurately classify, tag, and index documents according to established workflows and guidelines.
  - Maintain consistency in document naming conventions and categorization to ensure ease of retrieval.
- Digital Paperwork Processing
  - Handle the preparation, review, and digital filing of paperwork required for client onboarding, account maintenance, and other advisory services.
  - Identify and correct missing or incomplete information proactively.
- Workflow Optimization
  - Collaborate with compliance and operations teams to refine document workflows for efficiency and accuracy.
  - Recommend process improvements and automation opportunities to reduce manual touchpoints.

- Data Security & Compliance
    - Uphold strict adherence to regulatory requirements (SEC, FINRA, GDPR) and company policies for data protection.
    - Ensure all client information is handled confidentially and securely.
- Skills & Competencies
    - Exceptional attention to detail and organizational skills.
    - Proficiency with document management systems, e-signature platforms (e.g., DocuSign), and CRM tools.
    - Ability to work efficiently under tight deadlines and handle high volumes of documents.
    - Strong understanding of compliance and data security best practices.
    - Excellent communication and problem-solving skills.

Required Education and Experience

- High school diploma or equivalent
- 2+ years of experience in document processing, operations or back-office functions within a financial services environment.

Required Education and Experience

- Any applicable Certifications

Qualifications

- Skilled in Microsoft Office applications
- Proficient in both Windows and Mac operating systems
- Experienced with client relationship manager tools and case notes, including but not limited to, Salesforce and Redtail preferred
- Demonstrated computer literacy and utilization of online resources
- Possess a positive attitude and be customer-centric
- Excellent verbal and written communication skills
- Ability to work in a collaborative, team-based environment
- Proven skills in the areas of time management and organization
- Exceptional attention to detail and organizational skills.
- Proficiency with document management systems, e-signature platforms (e.g., DocuSign), and CRM tools.
- Ability to work efficiently under tight deadlines and handle high volumes of documents.
- Strong understanding of compliance and data security best practices.
- Excellent communication and problem-solving skills.

- Self-motivated, ability to handle diverse tasks and responsibilities
- Must have a prominent level of professionalism and integrity
- Knowledge and skills in using effective customer service practices, including but not limited to, managing expectations, collecting information, analyzing data, etc.