

Chief Operations Officer

Role Description: Concorde is a fast-growing broker dealer, RIA, and insurance agency, and we are searching for a Chief Operations Officer with extensive financial industry experience, strong leadership skills, and knowledge of identifying areas of opportunity and improvement for increased efficiency, overall infrastructure, and processes. The COO will lead our Operations team of high-performing professionals to be efficient, productive, and effective and acquire, train, and retain talent to maximize our growing needs. This position reports to the President of the broker dealer and the President of the investment adviser. The individual that fills this position will hold the following key responsibilities:

Roles and Responsibilities:

- Member of the Executive Team and responsible for day-to-day operations of the firm, including business processing and approval, technology solutions, brokerage operations, transitions, and the virtual assistant program.
- Review and revise as necessary operational processes to provide high standards of customer service and offer financial professionals to easily maintain and grow their business.
- Lead, guide, and support the entire operations department, including Operations Support, Concorde Virtual Assistant, Brokerage Operations, Sales Supervision, Transitions, and Technology and cybersecurity. Mentor direct reports to cultivate skills and to increase effectiveness of the team. Lead operations team through annual and quarterly goal setting, measurement of key performance indicators, and regular meetings.
- Work closely with the technology team to prepare the entire enterprise for change, leading the charge to migrate to more modern platforms and all that is involved with a digital transformation for efficient business processing and enhanced rep experience. This includes change management with affected individuals and management of vendors to meet deadlines.
- Manage technology vendor relationships of workflow solution platforms and other technology that is owned and maintained by the Operations team. This includes managing the vendor due diligence program and collaborating with the technology team and other members of the firm to perform regular due diligence, ensure system integration, and resolving issues that arise.
- Review and continuously assess our technology platform to ensure we're competitive and attractive to recruits and new advisors, as well as offer the desired level of services and value to our current representatives. Oversee the planning and direct the implementation of new technology platforms to meet firm needs and regulatory requirements.
- Effectively manage the operations and technology budgets, continuously looking for ways to reduce expenses and increase the firm's bottom line.
- Identify and create more cohesive client-facing solutions improving the end investor experience.
- Direction for all aspects of the organization's operational policies, objectives, and initiatives. Responsible for short-and-long term operational goals.
- Manage operational aspect of all four custodial relationships and manage account information and data feeds with all four custodians to support system integration among firm systems.
- Manage the communication strategies of technology and cybersecurity updates and news to the field force via email, vlog, and FLITE Deck.

- Apply industry “best standards and practices” to the firms’ processes, procedures, and systems for scalability and quality assurance.
- Collaborate with the management team and each department to ensure cohesive strategies and their execution to accommodate rapid growth.
- Responsible for overseeing the onboarding of new representatives and advisors to Concorde, including adoption of the technology platform and its integration, transitional paperwork, representative orientation program.
- Test, Document, and Enact Business Continuity Plan (including communication to the home office and field).
- Meet weekly with CCO and CFO to work through Operations, Compliance, and Accounting department challenges to help streamline departments and minimize silos.
- Communicate, administer, record, and post quarterly firm wide meeting webinars hosted by executive team.
- Communicate Operational and firmwide updates, including changes to office hours and holiday schedules, to the field force via email, vlog, and/or the FLITE Deck.
- Provide additional support during regulatory exams (including, but not limited to pulling data/documents and blotters, and reviewing work done by team before submission to regulatory authority).

Abilities required:

- 5-10 years of financial industry experience, with a focus on operations and business processes.
- Management and leadership experience with a desire to continue to grow and learn new techniques and experience collaborating with other C-Suite executives.
- Ability to prioritize tasks and work well under pressure in a fast-paced environment, with the ability to pivot when firm priorities change.
- Knowledge of SEC, FINRA, and state regulations.
- Strong computer skills required, including solid ability using the Microsoft 365 Suite (MS Word, MS Outlook, MS PowerPoint, and MS Excel a must), as well as other internal systems.
- Ability to work with reps, vendors, and clients in a professional manner.
- Strong computer skills required, including solid ability using MS Outlook, MS Word, and MS Excel as well as other internal systems.
- Effective decision-making skills.
- Must be service and team oriented with a desire to make a difference as part of a fast-growing independent broker dealer and registered investment advisor.
- Latitude and creativity for the role to evolve as needed.

Job Grades: Exempt 7

Minimum Licensing and Requirements: Bachelor’s degree in business administration or related field (MBA preferred), FINRA Series 7, 24, and 66 (or 63 and 65)