

## Role Descriptions / User Functions

Role	Description	Key Functions	Critical Needs	Key Opportunities
<p><b><u>Sr. Management</u></b></p> <p>Leadership &amp; Admin Executives</p>	<p>Executives responsible for overall line-of-business, including annual planning, goal setting, budgeting, financial results, sales and personnel management, product marketing, customer service, operations and referral programs between lines-of-business.</p> <p>Measured on Six Sigma goals and compensation plans tied to performance objectives.</p>	<p>Formulates strategy based on internal opportunities and external competition.</p> <p>Business unit visionary; communicates and guides overall organization direction.</p> <p>Plans business unit resource allocations and initiatives, including financial, marketing, and operations goal setting.</p> <p>Authorizes major projects and expenditures.</p> <p>Reviews performance of lines of business against plan and projections; recommends adjustments; directs business unit and cross lines of business initiatives.</p> <p>Reports to corporate management profit or loss results, as well as provides a quantitative and qualitative report of business unit activity.</p>	<p>Timely, accurate and indicative measures and analytics for business drivers, such as sales, operating and administrative expenses, overall and segmented profitability analysis, ratio and trend statistics to measure financial leverage, resource productivity and organizational capacity.</p> <p>Reporting on strategic goals, such as Six Sigma measures.</p> <p>Alerts to unusual activity related to financial risk and exposure.</p> <p>Regulatory compliance; knowing the organization follows all securities and operational rules, including rules affecting data processing, mandatory reporting and client confidentiality.</p> <p>Adequate reporting, controls and audit methods to independently verify business unit accounting, line of business management actions and subordinate manager performance.</p>	<p>Aggregating data across business unit lines of business into a single data store.</p> <p>Developing consistent measures that apply across the business unit in order to efficiently allocate resources to the lines of business and product areas with the best growth opportunities, profit margins, utilization of financial leverage and highest risk adjusted overall return on investment.</p> <p>Automated updates and easy access to critical information for properly entitled managers.</p> <p>Improving on weekly, monthly and quarterly reporting to daily and intra-day monitoring to reduce response times for important actions.</p> <p>Develop the strategic capability to acquire and assimilate more businesses and related computing systems for continued customer acquisition and long term competitive advantage.</p>

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<p><b><u>Market Execs</u></b></p> <p>Regional Presidents, Sales Directors, Administrative Directors</p>	<p>Responsible for the planning and management of the offices, associates and support personnel that provide client service in an assigned region.</p> <p>Held accountable for all revenues and costs in the region.</p> <p>Incentives based on increases in fees as a percentage of assets under management.</p>	<p>Plans line of business, regional, market and office resource allocations and initiatives, including financial, marketing, and operations.</p> <p>Authorizes projects and expenditures at respective organizational levels.</p> <p>Assigns sales representatives to sales teams.</p> <p>Authorizes / entitles sales and investment representatives to systems.</p> <p>Reviews performance of lines of business against plan and projections; recommends adjustments.</p> <p>Reports to senior management profit or loss results, as well as provides a quantitative and qualitative report for respective organizational unit activity.</p>	<p>Timely sales revenue and product reporting for measuring results against plan and projections.</p> <p>Accurate forecasting based on actual results and sales pipelines.</p> <p>Customer balances and segmentation reporting for product alignment and penetration.</p> <p>Tracking of new sales customer account pipeline and corresponding funding.</p> <p>Coordinate cross lines of business referrals.</p>	<p>Market trends analysis and opportunity measurement for targeting and forecasting.</p> <p>What if analysis to determine business drivers and resource requirements.</p> <p>Workflow solution for system entitlements.</p> <p>Sales force and customer management automation and information tools, including sales force team assignment / reassignment.</p> <p>Management portal for easy access to sales management and sales referral reporting.</p>

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<p><b><u>Account Teams</u></b></p> <p>Client Managers, Client Associates, Investment Advisors</p>	<p>Responsible for client service delivery and relationships.</p> <p>Are the lead sales officers responsible for winning new business and retaining existing business.</p> <p>Have fiduciary responsibilities, with compliance and legal requirements, on accounts in which the bank is trustee.</p>	<p>Solicit prospects and propose products and services.</p> <p>Respond to and provide customer service to existing accounts.</p> <p>Review and monitor customer investments and recommend improvements.</p> <p>Handle day-to-day issues related to accounts and trust agreements.</p>	<p>Timely and easy access to accurate and current customer information as entitled.</p> <p>Sales opportunities and leads.</p> <p>Information sources for investment proposals and model portfolios.</p> <p>Customer service and operations support and tracking for prompt fulfillment and handling of customer matters.</p> <p>Prompt alerts and follow-up for sales referrals.</p>	<p>Easy to use and comprehensive desktop portal for access to client records and information requested or required to be confirmed with clients.</p> <p>Work productivity enhancing tools.</p> <p>Best-in-class investment research and advice.</p> <p>Targeted marketing campaigns and brand awareness building.</p> <p>Sales and incentive tracking; President's Club recognition.</p>

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