

# Position Specification

## Vice President, Customer, Account & Offer Management

### ***The Company***

Our client provides wealth management, securities brokerage, banking, money management, and financial advisory services through its subsidiaries.

They provide financial services to individuals and institutional clients through two segments – Investor Services and Advisor Services. The Investor Services segment provides retail brokerage and banking services to individual investors, retirement plan services, and corporate brokerage services. The Advisor Services segment provides custodial, trading, and support services to independent investment advisors (IAs), and retirement business services to independent retirement plan advisors and record keepers.

### ***The Position***

The Vice President, Customer, Account (CAT) and Offer Management (O2) Technology is responsible for the company's authoritative source for Customers, Accounts and associated relationships Data and the associated business services exposing this data to various client channels. Additionally, the role is responsible for Customer Experience, Preferences and Offer Fulfillment solutions.

### ***Reporting Relationship***

This position will report to the Senior Vice President of Cross Enterprise Services. The role will lead a team of five direct reports with approximately 360 LE's.

### ***Key Responsibilities***

- Oversight of several large development teams, including platform modernization, maintenance, enhancement and of key solutions and authoritative data sources used for many customer facing and back-end critical applications, including the following functional areas (representing over 30 applications):
  1. Customer, Accounts, and Relationships data
  2. Workflow, Reference, and Operational data
  3. Customer Experience, Preferences, Offers & Products
  4. Quality Assurance
- Partner with key VP and SVP peers across technology and business areas to develop capabilities and services as well as enhance and maintain existing solutions and data.
- Lead Application Modernization Program efforts for the CAT and O2 sub-programs. Including:
  1. Manage a program budget of \$58M over the course of the 3~ year modernization effort.
  2. Modernize 26 CAT and 4 O2 applications.
  3. Transition existing legacy mainframe layer into modern Cloud based platforms and services.
  4. Replace legacy Offer Order system with a modern Cloud based solution.

- Lead the customer and account data aspects of the Onboarding and New Client Experience (ONCE) Digital transformation effort, including creating a 360-degree view of the client to personalize guidance, granular status visibility and a simpler process for Asset Transfer.
- Lead implementation of paperless Offer Order capability for multiple areas across the Enterprise.
- Continuously improve Agile development capabilities including the implementation of CI/CD solutions, implementation of BDD & TDD, and creation of stable agile teams that deliver integrated and tested features every 2-3 days.
- Support a highly available (99.99%) production environment.
- Support a culture of innovation and engagement within the organization.
- Mentor, develop and grow direct reports.
- Provide leadership in department direction, hiring great talent, and delivering on our commitments.

#### **Business Impact and Scope:**

- This role manages the system of record for all customer and account data for the company's 10.5M customers. Additionally, the role provides customer, account and other critical data related services relied upon by many key company, client facing applications and back-end systems. This role is also responsible for customer experience and the availability and fulfillment of customer offers, an important function that generates revenue and customer acquisition.
- The systems managed by this role, especially those involving customer and account data, must be highly available (99.99%) and quickly provide new features and functionality to the hundreds of applications that rely on this data. Failure to ensure availability or functionality of these technology solutions can have adverse customer impact (i.e. preventing customers from accessing their accounts, login or performing key functions such as money transfer or trading) and will have a significant impact on the company's success including financial and brand impact.
- This role will oversee a FOEX budget of \$7M and a project budget of approximately \$16M for a total budget responsibility of approximately \$23M.

#### **Influence Responsibility and Level of Interaction**

- This role partners and influences executive level business partners and interacts with third-party partners to provide services and solutions in the customer account and offer order space.
- This role interacts directly and frequently with the SVP of Cross-Enterprise Solutions, additionally this role will participate in and present to Modernization Executive Leadership Team meetings that include the EVP/CTO, EVP/CIO and the SVP of Project Services. The role will frequently interact with other company Technology Services senior management team members (i.e. SVPs) and extended senior management team members (VPs). On the business side, this role will frequently interact with leaders in Operations Services to influence and negotiate effective technical solutions and product direction. This role requires advanced level communication, negotiation and influencing strength, including ability to understand and translate customer feedback into successful technology solutions.

- This role will be directly accountable for delivery and production management of critical Customer and Account solutions for the firm. There are multiple layers of management in the organization including management of 5 direct reports with approximately 360 LE's.

## ***The Candidate***

### ***Education***

- A Bachelor's degree is required and a master's degree and / or other professional certification is considered a plus.

### ***Professional Qualifications***

- A minimum of 10 years exposed to technology related projects and initiatives; 5 years' senior management experience, and 5 years within large enterprises with broad, technical background in systems support.

### ***Personal Skills and Attributes***

- This role requires experience planning in all the areas, especially as it relates to execution at scale, Agile Development Methodology, Project Delivery and Technology integration.
- Balancing pressures associated with delivery and ensuring a sustainable delivery process with the ability to maintain availability of core systems effectively in the future is a core skill for this role.
- This is a complex position drawing on the ability to multi-task and drive change while managing partnerships with senior business executives.
- This position requires a combination of the highest level of leadership, general management skills as well as advanced technical skills particularly in the area of modernization and data solutions.
- Proven competencies in leadership and communication are critical to effectively translate complex technical information into succinct business plans that are clear and consumable to non-technical business partners.
- Mentor, develop and grow direct reports.
- Provide leadership in department direction, hiring great talent, and delivering on our commitments.

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**To learn more about this opportunity or provide a confidential referral, please contact:**

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