



Trading Associate

Rockwood Wealth Management is an established financial advisory firm serving clientele from our office in New Hope, PA. We are in the family wealth management business focusing on high-net-worth clients, families, and business owners. Through a planning process built on integrity, expertise, and attention to every detail, we navigate our clients through every phase of comprehensive financial planning and discretionary investment management. We have been serving this area and regional niche for more than 15 years and have a constantly evolving succession plan in place to ensure that we'll be here 30+ years from now.

This is a unique opportunity unlike most in the financial services industry. First, our firm is completely independent...there is no broker dealer affiliation. Therefore, as fiduciaries our loyalty belongs exclusively to our clients. Second, we offer a competitive compensation structure (salary and benefit package) and an equity ownership track for coworkers who demonstrate hard work and leadership characteristics while supporting the long-term goals of our firm. You will be a member of a collaborative and supportive team of high-performing colleagues all working hard to help us grow a successful and multigenerational business.

Rockwood Wealth Management is seeking to add an A-Player to our team, in the role of Trading Associate. This highly capable person is motivated by the challenge to expand his or her technical and organizational skills and can perform at a high level as part of a dynamic team as an execution trader. If you are experienced in the investment management industry, including trading, portfolio management, and operations, this could be the opportunity for you. Candidates without investment experience will be considered if they have a high degree of demonstrated academic performance and an aptitude for trading operations.

Job Summary:

The Trading Associate position provides high quality support to RWM's advisors by working closely with the portfolio manager, custodians, and our internal operations team to execute trade requests effectively and accurately, maintain trading platform and technology, and provide operational support.

Job Accountability:

The Trading Associate is a member of the Investment Operations team and reports to the Portfolio Manager.

Duties and Responsibilities:

- Develop an understanding of firm model portfolios and advisory teams.
- Accurate and timely execution of all incoming trade requests submitted by advisors same-day.
- Understand and monitor Rockwood's Trading Execution Logic to ensure clients receive best execution.
- Proactively communicate with manager, advisors, and custodians as needed.
- Conduct Trade Reconciliation - verify prior-day trades for accuracy and resolve discrepancies.
- Ensure best efforts for any trade requests submitted after cut-off time.
- Support Billing Team as needed to raise cash for advisory fees.
- Assist with maintenance and rebalance of firm-managed models.
- Assist and train advisors on trading platform and related technology.
- Assist on special projects and ad hoc assignments.



Specific Skills:

Bachelor's degree in business, finance, computer science, engineering, or related field or equivalent work experience.

It would be great if you had:

- 1-3 years' experience working in investment management or financial advisory services.
- Proficiency in Excel.
- Experience trading model portfolios.
- Understanding of industry compliance fundamentals.
- Series 65 or equivalent.
- Experience with Tamarac or other portfolio accounting system.

Personal Qualities:

- Detail-oriented with a high degree of accuracy in your work product.
- General interest in markets and trading (but no specific experience required).
- Able to maintain strict confidentiality.
- Able to effectively interact with coworkers at all levels.
- Able to adjust priorities among a variety of tasks and an occasionally heavy volume of tasks.
- Comfortable with multi-tasking.
- Critical thinker and problem solver.
- Able to manage multi-step, complex procedures.
- Exhibit professionalism and composure in stressful situations and in meeting short deadlines.

Salary and Benefits Information:

- Base salary commensurate with experience plus incentive bonus plan.
- Company covered employee medical and dental benefits.
- 401(k) plan with safe harbor matching employer contribution and discretionary profit-sharing plan.
- Employer sponsored health insurance and STD/LTD.
- Education and conference allowance.
- Unlimited Paid Time Off.
- Hybrid/location flexible work environment: 3-1-1.
- Gym membership.

All inquiries can be confidentially submitted to Careers@RockwoodWealth.com with your CV and cover letter.