

FINANCIAL ADVISOR

Summary of Expectations

Our Financial Advisors help clients accomplish their objectives by assessing financial situations; developing and presenting financial strategies and plans; providing solutions for their individual financial needs, and monitoring changes in financial status and life circumstances.

Position Responsibilities and Essential Functions

- *Collaborates with clients by forming strategies for retirement, education, day-to-day, expenses and investments and meets regularly with clients to assess how life changes will affect the client's financial plan. And will accomplish the following:*
 1. Assess clients' financial situation by gathering information regarding investments, asset allocation, savings, tax planning, retirement planning, estate planning, and evaluates risk tolerance.
 2. Assist clients with financial planning decisions for retirement, education, day-to-day expenses, and investments, and meets regularly with clients to assess how life changes will affect the client's financial plan.
 3. Develop financial strategies by guiding client to establish financial goals and matches goals to situation with appropriate financial plans. Fulfills the investment plans with execution and monitoring of all related investments and supervised accounts.
 4. Monitor clients' financial situation by tracking changes in wealth and life circumstances; analyzes financial plan results; identifies and evaluates new financial strategies; recommends changes in goals and plans.
 5. Meet personally with clients to assess their financial situation in order to present a financial plan that includes both short- and long-term financial goals.
 6. Provide financial management information by preparing financial status analyses and reports, client proposals, client books, and presentations and other needful information required for a successful client relationship.
- Builds and maintains client base; prospects for new clients; opens and services client accounts; closes new business.
- Markets services by asking for referrals from current clients; meets prospects at community functions; responds to inquiries; develops promotions; presents financial planning seminars. All while developing relationships with clients and the community to develop potential new clients.
- Updates job knowledge by tracking financial markets, general economic conditions, and new financial products; participates in educational opportunities; reads professional and technical publications; maintains personal networks; participates in professional organizations.
- Assists with special projects, existing clients of other advisors, and with other duties as assigned.
- Maintains excellent compliance and customer service standards.

Professional Experience

- Seven plus years' prior experience is preferred, including at least four years' client-facing experience as a Certified Financial Planner (CFP) (preferred), Bank Financial/Trust Officer, Attorney specializing in Estate/Tax/Planning matters, CPA with knowledge of personal planning and tax matters, or other Financial Advisor role.
- Knowledge of FINRA and SEC rules and related procedures.
- Reasonable working knowledge of Individual income taxes, life and health insurance, retirement accounts and their purposes, and estate and trust documentation and operation.
- Knowledge preferred of various custodial, back office, and technology platforms, including Emoney, Black Diamond, and financial/legal CRM systems.

Licenses and Certifications

- Series 65 licensed, or related equivalent(s), preferred.
- Life and Health Insurance License, preferred.
- Willingness to obtain other licenses as the need arises.
- Professional education related to Advisory function of the position.

All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, disability, or veteran status.