

ASSOCIATE FINANCIAL ADVISOR

The Associate Financial Advisor partners with a Senior Financial Advisor in managing and developing client relationships and accounts. The Associate Financial Advisor may also source prospects and manage client relationships independently. This individual prepares and presents financial plans to clients and prospects and monitors progress toward achieving client goals while maintaining all compliance and client service standards. The Associate Financial Advisor executes actions in client accounts in addition to performing planning, due diligence, and other investment-related activities.

Responsibilities and Essential Job Duties

- Masters custodial, portfolio management, and customer relationship management software and platforms.
- Supports Senior Financial Advisors with management of client accounts, including opening new accounts, processing and submitting documents, and initiating and filing agreements.
- Provides client operational support, enters trades, and executes money movement.
- Assesses clients' financial situation by gathering information regarding investments, asset allocation, savings, tax planning, retirement planning, and estate planning, and risk tolerance.
- Uses client or prospect information to evaluate, analyze, and prepare recommendations.
- Prepares client and prospect proposals, client books, and presentations.
- With the Senior Financial Advisor, meets with clients and prospects to deliver financial planning and investment management recommendations.
- Promotes appropriate wealth consulting solutions for client needs, ensuring all compliance standards are met.
- Reviews investments, strategies, and goals with existing clients on a regular basis.
- Gains expert knowledge of the tools and resources of the firm to deepen relationships with existing clients.
- Promotes Cary Street Partners and Wealth Management products and services to clients and prospects.
- Ensures all compliance standards are met.
- Maintains confidential and time sensitive material including marketing materials and other forms.
- Prospects for new clients with the Senior Financial Advisor.
- Represents the firm within the community at events.
- Assists with special projects and other duties as assigned.

Professional Experience and Attributes

- Three plus years prior financial services industry experience preferred.
- Undergraduate degree or higher preferred.
- Client-facing experience providing financial planning support or in areas of Bank Financial/Trust Officer, securities, accounting, personal insurance, operations or sales assistant experience preferred.
- Knowledge of SEC/FINRA rules and related procedures.
- Knowledge preferred of various custodial, back office, and technology platforms, including Emoney, Black Diamond, and financial/legal CRM systems.
- Proficiency with Microsoft Office Products – Power Point, Excel, Word, Outlook.
- Excellent written and verbal communication skills.
- Detail-oriented with excellent follow-through.
- Ability to represent the Firm in a positive professional manner.
- Ability to learn new processes quickly, take initiative, and multi-task with minimal supervision; self-starter and driven.
- Unquestionable integrity and good judgment.
- Collaborative team player with positive attitude.
- Willingness to travel on occasion.

Licenses and Certifications

- Series 7 or 65 licensed or able to obtain licensing within 90 days of employment.
- Life and Health Insurance License preferred.
- Willingness to obtain other licenses as the need may arise.

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. Cary Street Partners participates in e-Verify and will submit your I-9 documentation to the federal government to confirm your legal eligibility to work in the United States.