

ASSOCIATE FINANCIAL ADVISOR

The Associate Financial Advisor partners with Financial Advisors in managing and developing client relationships. The Associate Financial Advisor assists with preparing financial plans for clients and prospects, monitors progress towards achieving client goals and maintains all compliance and client service standards. The Associate Financial Advisor also participates in portfolio management, operational projects, and client service responsibilities. This position reports to the Branch Office Manager of the Fredericksburg, VA office.

Responsibilities and Essential Job Duties

- Supports Financial Advisors within all aspects of the financial planning and investment management services provided to clients.
- Assesses clients' financial situations by gathering information regarding investments, asset allocation, risk tolerance, savings, tax planning, retirement planning, estate planning, and insurance planning.
- Uses client or prospect information to evaluate, analyze, and prepare recommendations.
- Prepares client and prospect proposals, reports, and presentations.
- With the Financial Advisor, meets with clients and prospects to deliver financial planning and investment management recommendations.
- Gains expert knowledge of the tools and resources of the firm to deepen relationships with existing clients.
- Promotes appropriate wealth consulting solutions for client needs, ensuring all compliance standards are met.
- Works toward reviewing investments, strategies, and goals directly with clients with the goal of eventually managing client relationships independently.
- Participates in team investment review meetings, updates investment models, and implements investment changes.
- Monitors client portfolios for cash and investment needs.
- Provides client operational support including opening new accounts, processing and submitting documents, and initiating and filing agreements.
- Masters custodial, portfolio management, trading, and customer relationship management software and platforms.
- Assists with special projects and other duties as assigned.
- Ensures all industry, SEC, and firm compliance standards are met.
- Maintains confidential and time sensitive material including marketing materials and other forms.
- Promotes Cary Street Partners and Wealth Management products and services to clients and prospects.
- Represents the firm within the community at events.

Professional Experience and Attributes

- Three plus years prior financial services industry experience 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 of various custodial, back office, and technology platforms, including eMoney, Black Diamond, and financial/legal CRM systems preferred.
- The equivalent of an Associate degree, or 2 years of college is preferred.
- Proficiency with Microsoft Office Products – Power Point, Excel, Word, Outlook.
- Excellent written and verbal communication skills.
- 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

- Active SIE, Series 7 and Series 66 licenses or ability to obtain licenses within 6 months of joining the firm.
- Active health and life insurance licensing or the ability to obtain licenses within 6 months of joining the firm.

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.