

# Associate Financial Advisor

## Job Description



<b>Department:</b>	Advisory
<b>Reports To:</b>	CEO
<b>FLSA Status:</b>	Exempt

### Job Summary

The Associate Financial Advisor plays a critical role in serving our clients, with an emphasis on driving financial plan preparation, modeling planning scenarios, and leading plan implementation. In addition, they develop preliminary recommendations for investment portfolios and lead the preparation for client meetings, ensuring the implementation of these recommendations. Successful candidates will assume greater responsibilities as they develop these competencies, contributing to and leading client meetings, and participating in direct client servicing.

### Essential Job Duties

- Supports Financial Advisors in client relationship management and service.
- Develops financial plans and planning strategies in collaboration with Financial Advisors.
- Drives the client engagement process, anticipating and leading preparation for meetings, articulating recommendations, and leading the implementation of planning action items.
- Assists in the management of client portfolios under the guidance of the Investment Committee and lead Financial Advisor, such as placing trades, rebalancing, raising cash, etc.
- Supports business development efforts.
- Participates in and eventually leads the client meeting process, anticipates client needs, updates financial plans, evaluates portfolio performance, and suggests potential agenda items.
- Attends client meetings, delivers updates on financial and investment plans, articulates recommended actions, and follows up with the client on any recommended action items relating to the client's financial or investment plan, including any alternative investment fundings.
- Performs asset allocation analysis on new/prospective client portfolios and researches existing investments as needed.
- Works with new clients to document the discovery process and initiate financial plan design, prepare financial plan scenario analysis, and develop preliminary recommendations.
- Creates custom analysis of financial decisions to support responses to client questions and changing life circumstances.
- Supports Allium's business development efforts, contributing to content development and helping to plan and execute follow-up related to client events and educational programs.
- Partners with Client Service Associates to ensure cash movement, account updates, and other implementation tasks are completed in a timely and accurate manner.
- Trains and mentors Associate Financial Advisors as needed.
- Reviews quarterly performance reports and invoicing.
- Maintains punctual, regular, and predictable attendance.
- Works collaboratively in a team environment with a spirit of cooperation.
- Performs other duties as assigned.

### Supervisory Responsibilities

This position does not have any supervisory responsibilities.

### Qualifications

Ability to perform essential job duties with or without reasonable accommodation and without posing a direct threat to the safety or health of employees or others. To perform this job successfully, an individual must be able to perform each

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essential duty satisfactorily. The requirements listed below are representative of the knowledge, skill, and/or ability required. Reasonable accommodations may be made to enable individuals with disabilities to perform essential duties.

### Education & Experience

A bachelor's degree is required for this role. In addition to the education requirement, this position requires a minimum of three years of related experience. An equivalent combination of education, training, and experience may be used to satisfy these requirements.

### Certificates, Licenses, and/or Registrations

This position requires a CFP® Certification. Series 65, 66, strongly preferred.

### Travel Requirement

This position requires occasional travel related to the job duties above. Travel may include overnights.

### Knowledge, Skills, & Abilities

- **Analytical Skills:** The ability to analyze data, information, and situations to draw conclusions and make recommendations.
- **Attention to Detail:** The ability to pay close attention to accuracy and precision in work tasks.
- **Communication:** The ability to effectively convey information and ideas through written, verbal, and non-verbal means.
- **Compliance:** The understanding and adherence to laws, regulations, policies, and procedures relevant to the job or industry.
- **Customer Service:** The ability to provide excellent service and meet the needs of customers or clients.
- **Decision Making:** The ability to make informed and timely decisions based on available information and critical thinking.
- **Planning and Organizing:** The ability to develop and implement plans, set priorities, and manage resources to achieve goals.
- **Relationship Building:** The ability to establish and maintain positive relationships with colleagues, clients, and stakeholders.
- **Team Oriented:** The ability to collaborate with others and work effectively in a team environment.
- **Technical Expertise:** The possession of specialized knowledge and skills related to a particular field or industry.
- **Time Management:** The ability to effectively manage one's time and prioritize tasks to meet deadlines and achieve goals.

### Physical Demands & Work Environment

The physical demands described here are representative of those that must be met by an employee to successfully perform the essential duties of this job. The work environment characteristics described here are representative of those an employee encounters while performing the essential duties of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform essential duties.

- Moves regularly throughout the day in an office environment.
- Prolonged periods sitting or standing at a desk and working on a computer.
- Must be able to occasionally lift, carry, push, and/or pull up to 10 pounds.
- Communicates regularly throughout the day via email, messages, and phone calls.
- Performs repetitive tasks such as typing or data entry.
- The typical noise level is moderate.

**Employee Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

**Employer Representative:** \_\_\_\_\_ **Date:** \_\_\_\_\_