Investment Advisor Representative / Retirement Plan Sales Consultant

Summary

Wealth Management Advisor
Responsibilities include generating new business, strategy, implementation of the investment advisory services, providing investment advice, and managing investments.

401(k) Advisor
Accountable for strategy and focus for sales and marketing of retirement plans. Responsibilities include retirement plan consulting, communication, education programs, providing investment advice, and managing the investment of retirement plan assets.

General Responsibilities

Sales/Marketing
- Maintain current client relationships, with retention rate at or above 93% annually.
- Expand client base in both Personal Wealth and 401(k).
- Achieve annual sales goals.

Wealth Management Advisor
- Creates the strategy and directs the implementation of investment advisory consultation, communications, education, and ensures that the proper resources are utilized to best serve the client.
- Creates limited to comprehensive individual financial plans, advises on business succession planning, and oversees tax preparation.
- Provides investment advice and financial wellness seminars, constructs investment portfolios.
- Interacts with attorneys, clients, insurance and investment advisors, and tax professionals.
- Makes initial and ongoing recommendations based on customer information, goals, and objectives.
- Maintains consistent documented communication with clients and participants, including annual investment reviews.
- Engages in networking opportunities to promote business development and increase assets under management.
- Takes ownership and responsibility for projects, client relationships, and team member workload; proactively manages team commitments and deadlines.
- Provides clear, constructive, and timely feedback and guidance to team members.
- Manages vendors and cultivates customer and advisor relationships.
- Provides leadership.
- Translates operational business processes into workable plans/projects for team execution, setting clear direction, processes, resource allocation and accountabilities.
- Contributes to Firm growth through marketing efforts of core and additional services.
- Directs and implements continuous improvement strategies of quality deliverables and services.
- Performs other duties as assigned.

401(k) Advisor
- Creates the strategy and directs the implementation of retirement plan communication and education programs, ensuring that the proper resources are used to best serve the client.
- Interacts and manages relationships with clients, plan Trustees, plan sponsors, serving as the point of contact between all parties.
- Reviews investments and plan design information, and determines recommended modifications to investment strategy and approach, prior to scheduled meetings.

- Manages investment due diligence activities for new and existing retirement plan clients.
- Structures client proposals and employee communication programs for plan participants.
- Maintains consistent, documented communication with clients and participants, including quarterly contact and annual investment review meetings with plan trustees.
- Engages in networking opportunities to promote business development and increase assets under management.
- Takes ownership and responsibility for projects, client relationships, and team member workload; proactively manages team commitments and deadlines.
- Provides clear, constructive, and timely feedback and guidance to team members, and builds consensus with the team and with clients.
- Organizes internal resources to ensure the delivery of high-quality deliverables and services; implements process improvement initiatives.
- Communicates and models the vision and strategy of the Firm.
- Develops business relationships, partnerships, and referral network with a client focus; contributes to Firm growth through marketing efforts of core and additional services.
- Performs other duties as assigned.

Knowledge/Skills

- Ability to perform technical research and analysis, draw conclusions, apply appropriately and recommend solutions.
- Expert knowledge of retirement plan design, stock market and mutual fund options, and regulatory environment, as well as the application of current Employee Retirement Income Security Act of 1974 (ERISA) regulations.
- Poised public speaker with proven ability to engage and present to a diverse audience of all sizes.
- Expert communication skills and the ability to communicate with others, verbally and in writing.
- Excellent relationship building skills and the ability to develop and solidify working relationships with customers and team, superior customer service skills.
- Demonstrates good judgment, problem-solving and decision-making skills with a high level of attention to detail.
- Possesses and shows expert analytical review and evaluation skills.
- Advanced mathematical skills, with the ability to perform complex math functions.
- Ability to communicate financial information effectively and in a way that is easily understood by those not familiar with industry terminology.
- Ability to implement strategies to develop processes, procedures and controls to enhance effectiveness and efficiency of operations.
- Professional demeanor demonstrating objectivity, integrity and ethical behavior.
- Courteous and tactful, with a high level of diplomacy.
- Demonstrates strategic thinking, planning, creativity, sound problem-solving and solution-oriented skills.

Position

- Part-time, hourly, non-exempt position until graduation. Then full-time, exempt position with benefits.
- Reports to a PCA Partner overseeing Wealth Management.

Qualifications

Education

Bachelor's degree in finance or related major.

Industry certifications:

Series 65 or pass the Series 65 exam within the first 90 days of employment. CFP® or pass the CFP® exam within the first 24 months of employment.

Industry Experience: Proven track record or experience in wealth management, 401(k), and advisory sales valuable.