

Job Description – Director of Investment Advisory Service

Job Title:	Director of Investment Advisory Service
Revision Date:	May 04, 2017
Department(s):	Business Development
Status:	Full-time, non-exempt
Reports To:	Vice-President of Business Development
Supervises:	Third Party, Investment Advisory Platform Relationships

This is a summary outline of the responsibilities initially required of the Sales Assistant. This description may be modified as necessary.

Summary of Essential Duties

Sales Support:

- Identify and schedule meetings on behalf of firm principals with new prospects.
- Support firm principals through our sales/business development process by gathering information, keeping clean records, tracking process steps, and coordinating the preparation of reports and proposals.
- Qualify prospects to ensure they are a good fit for the firm and help develop sales strategies for each new prospect.
- Ensure that paperwork is processed accurately to decrease errors that require further client communication.
- Be able to confidently explain the benefits and value provided by the firm.

Client Service:

- Ensure smooth day-to-day operations and increase operational efficiency of the firm.
- Support high client satisfaction rates through excellent customer service, prompt follow-up to client issues and proactive problem solving.
- Leverage time and create capacity for firm principals.
- Thoughtfully assist in the management of all elements of the Client Experience.
- Provide consistent and knowledgeable client communication.
- Schedule and prepare agenda for review meetings, as well as Client Experience strategy meetings.
- Contribute to and distribute Constant Contact email communications.
- Coordinate client events or meetings as required.

Investment and Financial Planning:

- Prepare all Investment Policy Statements and distribute to client(s).
- Maintain accurate record of Investment Policy Statements.
- Prepare Investment Review Reports in Portfolio Center and Morningstar data for all client meetings.
- Evaluate client-submitted financial planning update materials (i.e. insurance statements, benefits statements, expense reports, earnings, mortgage information, etc.) for correctness and completion.

- Enter data in financial planning software.
- Coordinate information with clients when there are questions about data accuracy.
- Prepare financial planning update report for advisor's final review.
- Update planning software account balances on a quarterly basis.
- Maintain necessary continuing education credits.

Administrative Support:

- Answer phones, route calls and take / distribute messages.
- Schedule, calendar and manage tasks and activities in CRM and team members' calendars.
- Manage incoming and outgoing communications (telephone, email and faxes).
- Provide general office support (photocopying, faxing, filing, office errands, creating documents, etc.).
- Review, sort and distribute incoming mail.
- Coordinate travel arrangements and expense reports.
- Manage client touches and birthday process, cards / gifts (Sympathy, Get Well, Thinking of You, etc.).
- Complete and coordinate all SEC and FINRA related compliance and licensing tasks.
- Support the Vice-President of Business Development in the management of his tasks and workload as needed.

Knowledge, Skills & Qualifications:

- Minimum of five (5) years financial services industry experience and two (2) years in a client service / operations role.
- Strong problem resolution skills
- Detail-oriented with a high degree of accuracy
- Exceptional organizational skills; ability to multi-task and follow up with and meet deadlines
- Highly competent computer skills, advanced knowledge of Microsoft Office Suite
- Exceptional oral, written and interpersonal communication skills
- Impeccable ability to maintain confidentiality and integrity
- Positive attitude, personal organization and the ability to handle a heavy workload
- Professional appearance and demeanor
- Energetic, eager to learn and willing to cooperate