# Job Description

<table>
<thead>
<tr>
<th>Position Title:</th>
<th>Wealth Adviser Trainee</th>
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<tbody>
<tr>
<td>Division/Department:</td>
<td>ACE</td>
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<tr>
<td>Exempt</td>
<td>Non-Exempt</td>
</tr>
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<td>Salary Grade:</td>
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<tr>
<td>Reports To (Title):</td>
<td>Director of Call Center Ops</td>
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<tr>
<td>Effective Date:</td>
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The following position description contains representative examples of work that will be performed in positions allocated to this classification. It is not required that any position perform all of the duties listed, so long as primary responsibilities are consistent with the work as described. Roles and responsibilities can often be expanded to accommodate changing business conditions and goals, as well as to tap into the skills and talents of the individuals in the company. Accordingly, associates may be asked to perform duties that are outside the specific functions that are listed.

## I. MISSION

A national RIA firm is seeking quality candidates for our Adviser Trainee Program for the Las Colinas office in Irving, Texas. This is a unique opportunity with a lucrative and exciting career path for sales-oriented professionals to become a Wealth Adviser and begin building a successful client base with our proven and effective marketing strategy.

The firm is a partnership of exceptional advisors, unified to accomplish one goal, to help our clients achieve a genuine empowerment over their entire financial lives. Clients actively participate in designing the financial life they want and our advisors help them to accomplish it.

Individuals selected as Adviser Trainees will enter into a hands-on training program aimed at developing their knowledge, skills, confidence and ability to become successful Wealth Advisers. As designed, this is a two-year program but the actual time required to complete the program will vary by individual based on prior work experience, sales skills, work ethic, existing skill set, licensing/certification, and progress demonstrated during the training program. We have opportunities throughout the country and ability to relocate to Houston, Chicago, New York or other major US metro areas at the completion of training is a plus.

After completing the training program, Adviser Trainees will cultivate clients and develop a book of business through use of the firm’s internal database of leads, ongoing series of retirement workshops, persistent sales skills, and proprietary business development processes, marketing materials and client deliverables. To ensure each Adviser Trainee achieves the mission of improving clients' lives, as a Wealth Adviser's client-base and book of business grows, additional support is provided for advice and client service through a team-based approach.

The ideal candidate should have a passion for sales, drive to achieve, ability to empathize, ability to take initiative, excellent communication skills, good judgment, and ability to prioritize daily tasks. The ability to effectively manage time and multi-task with attention to detail is critical to this role.

## II. ESSENTIAL RESPONSIBILITIES

- Learn and demonstrate mastery of calling prospects in targeted markets to perform basic prospect qualification and invite them to attend a retirement planning workshop.

- Learn and demonstrate mastery of advanced prospect qualification, gathering prospects' financial information and setting appointments for advisors to meet with qualified prospects.

- Lead call center campaigns, taking responsibility for individual marketing campaigns and the assigned call center agents, including creating and maintaining campaign guides and call lists, tracking workshop reservations, overseeing appointment setup, and reviewing call center agents' work product.
• Assist with setup and execution of retirement planning workshops.

• Manage an assigned advisor’s calendar. Perform prospecting, qualifying and appointment setting for advisor.

• Develop knowledge of financial industry such as financial markets, products, regulations, retirement planning, and advice basics through advisor-led classes, independent reading, and study of FINRA licensing materials. Demonstrate mastery of knowledge through written examinations and advisor-led oral examinations.

• Learn and use financial planning applications and typical office programs to assist with preparation of deliverables for prospects and clients. Also learn and use Salesforce to support the business development process.

• Learn to formulate investment strategies for prospects to put them in the best position to be successful during retirement. Demonstrate ability to do so through activities such as creating investment proposals, rebalancing 401K accounts and comparing investment models.

• Study and pass examinations to complete licensing requirements for FINRA Series 7 and 66, and state-issued Group 1 Insurance.

• Learn how to answer basic questions regarding initial retirement planning as well as potential modifications to previously established retirement plans based on change of circumstances. Demonstrate ability to do these activities.

• Observe advisor meetings with prospects as well as existing clients in preparation for conducting joint appointments with advisor as final step of the training program.

III. POSITION SPECIFICATIONS

Experience and Education:
• A bachelor’s degree, preferably in Finance, Business, Accounting and/or Economics
• Sales experience preferred
• Knowledge of financial industry preferred, Series 7, 65 or 66 and State Insurance a plus
• Opportunity for rapid advancement for those with 2-5 years’ experience as an Investment Advisor or Insurance Agent

Skills and Knowledge:
• A self-starter with a positive attitude and professional demeanor that thrives in a fast-paced work environment
• High degree of sales ability, balancing persistence, persuasiveness and patience
• Ability to persistently and successfully engage and influence prospects via phone
• Superior people skills; socially adept with strong interpersonal skills
• Strong oral and written communication skills, including active listening
• Ability to take initiative and work efficiently, effectively and independently
• Professional and articulate, with attention to detail
• Excellent time management, strong organizational skills and ability to prioritize multiple tasks and anticipate potential problems