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**Associate Wealth Advisor I**

**Ideal Candidate**

Experience in wealth management and financial advisory services with a passion for serving clients

**General Requirements**

* Understand and support the firm’s vision, mission and strategy
* Serves as an important part of the relationship team for firm clients
* Collaborate with lead advisors to develop presentations and perform analysis
* Assist with operational tasks and develop competency in the firm’s processes, technology and approach to relationship management
* Learn overall processes; assist with operations and service tasks to gain understanding of end-to-end process
* Complete on-the-job training with existing team members
* Participate in weekly Operations committee meeting; participate in weekly 1x1 meeting with COO; provide feedback on areas of improvement and contribute ideas to continuously improve
* A team player who has good interpersonal skills and a positive attitude
* Adhere to company policies and industry regulations
* Perform additional duties as assigned by manager
* Ability to handle changing priorities and fast paced environment
* Well organized and detail oriented
* Proven ability to thrive in a dynamic environment
* Ability to establish effective relationships
* A passion for delivering an exceptional client and employee experience

**Desired Experience**

* Experience providing support to financial advisors, including preparation of reports and other materials for client meetings
* Ability to execute on instructions from lead advisors and other senior team members
* Ability to organize and manage client information and paperwork
* Ability to effectively participate in client meetings, engage in client communications and assist with the new client on-boarding process
* Ability to work well as part of a client service team

**Desired Education**

* College Degree
* CFP Certification
* Series 7 and 66 Licensing preferred

**Specific Duties**

Client Meeting Prep and Follow-up

* Prepare GPM presentation (financial plan) by collecting client’s balance sheet items and lifestyle inputs
* Prepare portfolio performance review
* Participate in client meetings and write down case notes. Ensure all follow up items are assigned as tasks to the team via the case note process.
* Follow up with clients on ad hoc requests

Review Supervision & Compliance reports

* Documents Due – Review report for accounts missing required documentation (New account docs, REG BI notices, Disclosures, etc.)
* Alerts Portal/Supervisory Center – Review Account Changes/Reconcile money movement/Confirm incoming ACATS/ notate flagged trades and large account concentrations that have exceeded tolerances
* Practice Center – Review periodic reports/Review missing AMS Form 100/200 report

Operations

* Coordinate with clients to fill out client profile information
* Account opening (Individual, Joint, 529, UTMA/UGMA, Trust, Corporate, Securities Based Lines of Credit, Donor Advised Funds, etc.)
* Prepare all required regulatory forms and request signatures from clients via DocuSign; work with the various RJ departments to ensure forms are processed (New Accounts, Customer accounts, Retirement Services, RJ Bank, Money Movement, Mutual Fund Trading)
* Complete Money Movement requests (journals, ACH, RMDs)
* Relationship Management system – Ensure all client accounts are househeld and mutual fund links are aggregated. Apply nomenclature to mail packets within this system
* Ad hoc requests from clients (Qualified Charitable Distributions, address changes, statement reporting changes). Research how to transfer private placement investments by reaching out to the appropriate custodian
* Assist with trades
* Review the daily activity report to review prior day trades and money movement