Doyle & Associates

A financial advisory practice of Ameriprise Financial Services, LLC.

JOB DESCRIPTION

Position:	Paraplanner
Reports to:	Financial Advisor and Chief Operating Officer
FLSA:	Non-exempt

Position Summary includes all duties listed and any other duties as assigned:
Works with the Financial Advisor (FA) or Associate Financial Advisor (AFA), utilizing the client relationship model & turnkey tools to assist & support the advisor in building efficiencies, growing of their practice & servicing clients by gathering & analyzing client data, helping prepare financial plans, working with clients to process transactions & trades & other practice management tasks as needed. Provide general administrative/reception/operations support as needed.

Specific Duties are those listed below and any and all other duties as assigned:

- Assist advisor in servicing clients including preparing financial plans, conducting investment research and completing trades and transactions as described by the advisor. Conduct or assist in daily trading activities for clients
- Review Prep list for client meeting two weeks prior to client meeting
- Prepare and summarize client meetings by scheduling and confirming meetings, enter data into contact manager, create the agenda and summary of meetings, and complete follow up actions.
- Ensure client frequency schedule is set for each client
- Help Advisor maintain client dashboard
- Prepare and ensure new business paperwork successfully submitted which can include preparing forms, obtain appropriate signatures, prepare documentation to send to home office, track new insurance applications and coordinate rollovers.
- Prepare charts, graphs, tables and other visual aids for advisor use in client meeting
- Help client establish Online Experience ability through eRegistration process and Total View.
- Collect Compliance documents that need to be signed by client and/or advisor
- Provide general administrative duties such as answering the advisors phone, prepare routine client correspondence, support for closes, set up of client files, copy and new business correspondence and alerts.

Education Requirements including Licenses

Bachelors degree in Personal Financial Planning or Finance
Relevant Experience Required 2 to 5 years.
Series 7, 66 and Group 1, or ability to study for and acquire

Key Traits of a Successful Paraplanner

- Experience working in a client service environment.
- Detail orientated, strong math, and analytical skills.
- Good organization and time management skills.
- Able to manage multiple priorities and prioritizes effectively.
- Able to independently work with minimal supervision.
- Effective communication with all levels within the organization.
- Process oriented and can work with a team.
- Strong computer and software skills.
- Polite and clear phone manner
- Ability to adhere to rules and regulations as stated and required by FA, Ameriprise Financial, FINRA and SEC
- Ability to support and provide guidance for compliance within the advisor's practice

- Positive attitude and sincere willingness to constantly learn and grow

Major Responsibilities
In order to fulfill his/her responsibilities, the Paraplanner should expect to spend the amount of time on the following functions:

65%	Client care / Business management. Make Trades, Client Follow-up and portfolio reviews: Complete client objectives (TO DOs); establish new clients, process all paperwork, file all compliance requirements, follow-up on all preliminary and subsequent investments, transfer or portfolio activity. Forewarn FA of any investments scheduled to mature.
35%	Financial planning and advice/product solutions

Education Requirements including Licenses

- Minimum two year associate's or Bachelor's Degree and 3 – 5 years of experience in the field or 5 years of equivalent experience.
- Series 7. Completion of 63 and 65, and Group 1 Insurance, or ability to study for and obtain all.

Supervisory Requirements
The position will receive moderate supervision from the FA. Therefore the person in the position is expected to have the ability to quickly obtain the experience and knowledge necessary to perform his/her duties.

The position will not have supervisory responsibilities.

Additional Responsibilities
The position will have access to confidential information and will work in an industry requiring strict performance guidelines to ensure compliance of all activities.

The position requires fluency in English.

The position requires above average detail oriented and analytical skills.

Additional Skills
Must have above average skills in the following software programs:

- Microsoft Word
- Microsoft Excel
- Microsoft Powerpoint
- Outlook

Must have an above average ability to learn new software programs specific to the financial services industry and/or Ameriprise and Doyle & Associates. Examples include:

- Financial Planning software
- Morningstar
- Thompson One
- Salesforce
- Others as needed

Please send your resume to: terry.c.king@ampf.com