Associate Advisor Job Description

Job Title:	Associate Advisor	**Company:**	Centura Wealth Advisory
Supervisor:	Derek Myron	**Division/Department:**	Consulting
FLSA Status:	Exempt	**Last Revision Date:**	02/08/2019

Job Description:

Centura Wealth Advisory is seeking an Associate Advisor to be a key member of our team, providing service to our clients, strategic partners, and our consulting team. This is an excellent opportunity to work with a small group of experienced financial planners, and gain experience in collaborative boutique setting serving both HNW and ultra HNW individuals/families. We champion our employee strengths, guide their development, and invest in their long-term success. We hire optimistic, resourceful, result-oriented, and adaptable people with the desire to help our clients, their teammates, and themselves succeed.

As an Associate Advisor, you will be responsible for new and existing business case management. You will develop financial models for both existing and new financial solution data sets. Collaborate with internal and external third-party experts that round out a client's professional roster. Finally, deliver outstanding service to all to build and maintain client loyalty. You will work closely with our team to achieve client, team and individual objectives.

Primary Responsibilities (Ongoing):

- Works collaboratively with other team members to deliver high quality service to meet or exceed client & third-party professional's expectations

- Prepare(s) client financial statements/documents from client document production(s)
    - Balance sheet(s)
    - P&L's
    - Statement of cash flows
    - Investment and estate planning goals

- Prepare(s) client solutions to financial / investment / tax / estate planning opportunities
    - Create / audit financial plans
    - Create and assemble investment solutions / presentations
    - Coordinate and assemble tax planning solutions
    - Coordinate and assemble estate planning solutions

- Possesses a passion for client service, positive energy, and problem-solving skills to connect in all client interactions. Interactions will be in-person, via teleconference & video conference

- Assists with client campaigns

- Assists clients with questions regarding their account(s)

- Listens to clients to identify additional needs or concerns; communicate to team members

- Excellent oral and written communication skills is required

- Possess the ability to manage multiple tasks effectively by balancing high productivity with an excellent client experience

- Maintain timely and accurate documentation of client interactions, activities, processes, issue resolution and next steps in CRM - ensures action items are prepared and communicated

- Help clients navigate online account management tools

- Learn, adopt, and share custodian best practices

- Research solutions and procedures for various one-off circumstances

- Provide timely communication of any customer dissatisfaction to Relationship Managers

- Assist with client account receivables and reimbursements

Additional Responsibilities (Projects):

- New Business - Responsible for the opening and funding of new accounts at various custodians
    - Support Client Services team with backup in new account process
        - Assembles and prepares all necessary documentation for successful execution
        - Proactively collects and prepares any service forms that will be needed in the future
        - Submits and documents new account paperwork to various custodians
        - Resolves alerts and provides additional information as needed
    - Proactively engages team members, custodians or subject matter experts to effectively manage internal and external expectations

- Existing Business – Responsible for all client service requests at various custodians
    - Prepares and submits necessary paperwork for respective tasks and/or requests
    - Coordinates with the Relationship Manager to ensure minimal client effort in completing projects and requests
    - Researches and provides easy and confidential solutions for client execution
    - Maintain and update various client information in multiple locations

- Creation of company business processes, work-flows, and documentation procedures
    - New business case management
    - Account servicing and review

- Research software solutions to improve operational efficiencies and implement industry best practices

- Assist with creation of business reports for case management, goal and revenue tracking

Required Skills/Competencies:

- Integrity / Honesty – Displays highest standards of ethical conduct, understands the impact of violating these standard on the organization, self, and others, chooses an ethical course of action, and is trustworthy. Must be able to maintain confidentiality.

- Conscientiousness – Displays a high level of effort and commitment towards performing work and demonstrates responsible behavior.

- Organization – Needs to be accurate, highly detail oriented, organized, and able to prioritize time management to perform assigned work.

- Interpersonal skills – Shows understanding, friendliness, courtesy, tact, empathy, cooperation, concern, and politeness to others and relates well to different people from various backgrounds and different situations.

- Communication – Uses correct English grammar, punctuation, and spelling to organize and communicate ideas in words that are appropriate to listeners and readers and uses appropriate body language.

Licensing & Education:

- Undergraduate degree – Required
- Series 65 or 63/66 licenses – Required
- Certified Financial Planning "CFP" designation - Preferred
- Life & Health license in the State of CA – Optional

Experience:

- 5+ years minimum experience in Financial Services, Required

- Specific experience in building a book of business, client service and/or case management, Preferred

- Proficient with the following software programs
  - Microsoft Office (Outlook, Word, Excel, Power Point, Visio, etc.) – Required
  - TD Ameritrade – Preferred
  - Orion - Highly Preferred
  - Salesforce – Preferred

Working Conditions:

- Well-lit, heated and/or air-conditioned indoor professional office.

Physical Demands:

- Equipment typically used: Computer, copier/scanner, printer, cell and telephone.
- Physical Requirements: Ability to communicate in written and verbal format.
- Percentage of time spent on activities during a typical workday:

Sitting	80%		Standing	5%
Bending	3%		Kneeling	2%
Climbing	2%		Pushing/Pulling	2%
Lifting	3%	Typical weight less than 10 lbs.	Carrying	3%

The above statements are intended to describe the general nature and level of work being performed. They are not intended to be construed, as an exhaustive list of all responsibilities, duties and skills required of personnel so classified. They are representative in that the qualifications and physical demands must be met by an employee to successfully perform the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.

Signatures:

Date: ________________ **Incumbent:** ________________________________

Name & Title

Date: ________________ **Supervisor:** ________________________________

Name & Title

Date: ________________ **Officer:** ________________________________

Name & Title

To be filled in by Human Resources

HR Approval:

______________________________ ______________________________

Print Name & Title **Signature**

Date: ________________________ ________________________