



LEAD ADVISOR

MISSION:

The Lead Advisor at Commonwealth Financial Services is an integral part of our team serving as a connection between our clients, support team, and advisors, under the guidance of our Senior Advisor. This great communicator, influencer and enthusiastic person will support the vision, positive culture and team environment at Commonwealth Financial Services.

The Lead Advisor is highly experienced and manages existing client relationships. They may develop new client relationships and/or train and supervise other staff members. They are responsible for overseeing the top clients who generate a significant amount of revenue for the firm.

CORE ENGAGEMENT REQUIREMENTS:

Leads Client Relationships

- Leads, manages, and engages directly with clients to best support their financial investments, and risk outcomes, with little to no support from the Senior Advisor.
- Engages directly and is responsible for client retention and relationship with assigned clients.
- Leads presentation and implementation of a suitable financial plan and/or investment strategy for the top clients of the firm.
- Advises client by understanding the needs, objectives, goals, concerns, and planning tools.
- Communicates and represents the client outside of the organization and with other external sources to carry out the goals of client service.
- Provides periodic oversight, in line with firm procedures, to ensure the needs of the client are being met.

Drives Growth of the Firm:

- Develops prospects and converts prospects into clients to facilitate firm growth.
- Builds and executes on marketing efforts and COI relationships to build business opportunities for referral relationships.
- Communicates with people outside the organization, representing the organization to customers, the public, and other external sources.

Develops Talent:

- Trains, supervises, and helps advisors formulate and sharpen their financial/investment objectives.
- Identifies and executes on successful transition of client relationships to other advisors in support of the team.



Serves as a leader in the firm:

- Solves problems by analyzing information and evaluating results to recommend the best solution.
- Supports management, client, and/or other groups outside the organization on technical financial planning and investment planning needs, systems, or process-related topics.
- Follows compliance requirements to maintain an effective and robust investment advisory compliance program.
- Provides procedural oversight, departmental management, and advisor supervisory duties to reporting advisors.

QUALIFICATION REQUIREMENTS:

Education and Licensing:

- Bachelor's degree or higher
- CFP® or eligible for pursuit of CFP®
- Series 7 & 66 or Series 65
- 4+ years of experience in a direct advisory capacity in financial services

Expert Level Skills

- Honesty and Integrity
- Stress Management
- Time/Organizational/Priority Management
- Communication (verbal, written and listening)
- Client Confidentiality

Emerging Level Skills

- Sales and Leadership
- Securities, Financial Planning, Investments, and Insurance
- Variety of Custodian Platforms (Fidelity, Schwab, TD, etc.)
- Data/Information Analysis and Sourcing
- Financial planning analysis and modeling for high net-worth clients

Proficiency Skills

- Microsoft Office Suite/Google Workspace Tools
- Knowledge of Broker Dealer and Investment Advisory Regulations required