Associate Advisor

**POSITION OVERVIEW**

Provide ongoing client and business development support to the Financial Advisor. Maintain proactive, professional communication with clients to ensure an excellent client experience. Maintain a high standard of compliance in all aspects of the business. Support the Advisor in achieving their business goals.

**POSITION DESCRIPTION**

**1. Ensure consistent delivery of high-quality service to meet or exceed client expectations and service standards.**

* Respond to and ensure incoming account or investment-based client calls, e-mails, communications, faxes, and inquiries are responded to in a quick, efficient manner
* Manage as much of the incoming account or investment-based communication as possible and only delegate to the Financial Advisor as and when required
* Provide quick and effective responses and resolution to client account or investment issues to ensure prompt and efficient resolution
* Escalate account or investment problems and bring to the attention of the Financial Advisor as required
* Review relevant incoming internal and external correspondence
* Assist in the creation and review of all outbound correspondence
* Monitor team activities to ensure adherence to policies and procedures, completeness, and accuracy
* Effectively manage the Associate-delegated clients you are responsible for:
	+ Bring on new Associate level accounts, as well as provide ongoing long-term maintenance of these accounts
	+ Creation of Investment Policy Statement and/or other financial planning reports as required
	+ Review accounts and make recommendations accordingly
	+ Implement trades as appropriate
	+ Prepare for, implement, and follow up for review meetings
	+ Initiate and complete call rotations
* Maintain comprehensive pro-active communication using a contact management system
	+ Build and establish trust and rapport with these clients through continued, professional contact
* Assist the Financial Advisor with all other clients:
	+ Creation of Investment Policy Statement and/or other financial planning reports as required
	+ Prepare the Financial Advisor for all client meetings and reviews
	+ Implement trades as authorized by the Financial Advisor
* Maintain comprehensive communication with clients using a contact management system
	+ Build and establish trust and rapport with these clients through supportive, professional contact
* Support the Advisor in delivery of all relevant client service deliverables including, but not limited to’ call rotations, birthday cards, holiday acknowledgements, newsletters, client events, etc.
* Establish and maintain effective partnerships with the Financial Advisor, colleagues, and business liaisons outside of the branch team (ie. Mutual Fund representatives, Accountants, Lawyers, etc.)

**2. Maintain a high standard of compliance in all aspects of the business.**

* Implement trades for the Financial Advisor as and when required
* Review portfolio asset allocations and re-balance accordingly (independently or through review with the Financial Advisor)
* Ensure all supporting documentation for new accounts and other industry documentation is correct and complete
* Follow the Code of Conduct

**3. Help the Financial Advisor achieve their business goals.**

* Manage the Associate delegated clients accordingly
* Support the Financial Advisor with clients as required
* Provide, review, and discuss various business reporting as and when required by the Financial Advisor for review and/or discussion
* Meet with the Financial Advisor to understand business goals and the various strategies in place to achieve them
* Support ongoing change initiatives and new business practices in the business

**POSITION REQUIREMENTS**

Specific Requirements:

* Appropriate licensing requirements
* x years of financial services experience
* Knowledgeable in Asset Allocation and Portfolio Risk Management
* Experienced with general investment products (stocks, bonds, mutual funds, etc.)
* Experienced using and preparing financial plans using planning software
* Excellent computer skills with working knowledge of Microsoft Office
* Experience with or a working understanding of contact management software

General Requirements:

* Enthusiastic, motivated, committed, and a team player
* Reliable and professional
* Personable and able to form good rapport with others
* Excellent oral, written, and personal communication skills
* Organized with good project management skills
* Able to work well in a dynamic, fast-paced environment
* Enjoys increased work responsibilities
* Interpersonal skills to develop and maintain good relationships with the Financial Advisor, Sales Assistant, clients, and colleagues
* Well-developed problem-solving skills sufficient to identify problems, generate solutions, and decide on a course of action at a basic administrative level