**Job Description - 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 on the team 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 to delegate to the Financial Advisor as and when required.
* Provide quick and effective responses and resolution to client account or investment issues ensuring 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 the 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 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 (i.e. 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 remaining 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