

Associate Financial Planner

Summary of responsibilities

The associate financial planner position is a support position that helps to create capacity and leverage the time of the lead advisors on the team. The primary responsibility of the associate financial planner is the ongoing management of existing client relationships and the retention of clients.

Associate financial planners are responsible for constructing financial plans by managing the financial planning software, inputting client data, building scenarios, creating a final deliverable for clients, and presenting these deliverables. Associate financial planners also keep financial plans current and help to answer all financial planning/investment related client questions. They will attend client meetings with the lead advisor, take extensive notes, and regularly correspond with clients.

Associate financial planners work closely with lead advisors, providing the above technical support. Associate financial planners do not have any business development responsibilities, but they may have firm responsibilities such as assisting with internal projects and strategic initiatives, and delegating client administrative and operational tasks to other specialized team members as they see fit.

General Support

- Supports the lead advisors with analysis, client service, and technical assistance
- Continued learning of technical skills to prepare to service the clients as independently as possible to create capacity for the lead advisors

Analytical Support

- Attends client meetings and takes extensive notes; participates in investment and financial plan review, updates suitability information, and oversees meeting preparation and follow-up
- Analyzes client information and prepares reports and presentations
- Enters information into financial planning software and prepares financial plans
- Delivers financial plans to clients; explains data and assumptions in addition to interpretation of results
- Analyzes asset allocation for client accounts held in-house and outside of the firm
- Researches investment managers and insurance products
- Creates custom spreadsheets or leverages prebuilt spreadsheets/software for analyzing purchase decisions or planning scenarios

Client Service

- Answers planning/investment related questions for clients

- Presents product information or options to clients
- Manages requests for transfers of funds in and out of accounts
- Delegates instructions/forms to appropriate colleagues to open or maintain accounts
- Interfaces with the broker-dealer or custodian to obtain information or account data and convey service requests
- Maintains information and/or delegates data for CRM system
- Assists in generating reporting as required/requested by clients or lead advisors

TEAM INTERACTIONS

Associate financial planners report to a lead advisor and work regularly with the same small set of lead advisors throughout the firm. Associate financial advisors may have formal management responsibilities and often help to mentor/train paraplanners and client service associates as well as help these team members continue to grow and develop their own skill sets. Associate financial planners often seek mentorship from lead advisors, who may or may not be their managers.

Required knowledge/skills/competencies

- BA or BS in business/finance/economics, MBA a plus
- CERTIFIED FINANCIAL PLANNER™ certification (or currently enrolled)
- 3+ years of experience in the financial services industry; experience working with NFS processes and forms a plus
- Exceptional understanding of financial planning concepts and terminology
- High attention to detail
- Excellent communication skills
- Proficiency of mutual fund, stock, bond, insurance, and annuity products
- Knowledge of third-party asset management systems, including how they work, their benefits, and their drawbacks
- Understanding of basic estate and tax planning issues
- Aptitude with Microsoft Office Suite (particularly Excel and PowerPoint)
- Expertise with MoneyGuidePro, Morningstar® Advisor WorkstationSM, Argus, Value Line, and Broadridge Advisor Solutions, a plus

Salary & Benefits:

Competitive salary (based on experience and current licenses)

Bonus opportunities

401(k) retirement plan with matching employer contributions

Group health insurance plan

Group disability & life insurance

Paid time off for holidays

APPLICATION PROCESS:

To be considered for the position, please submit the following information to info@williamsasset.com:

- Cover letter (including responses to Supplemental Questionnaire; see below)
- Resume with salary history

Once you have submitted all of the required information, we will then review your application and contact each qualified candidate for an interview.

SUPPLEMENTAL QUESTIONNAIRE:

Please provide your detailed responses and submit as part of your cover letter.

1. Describe your relevant client service and office experience as it relates to this job posting.
2. What do you consider your strongest work/character traits? In what areas do you think that you need improvement?
3. Describe one or more of your most cherished accomplishments in any of your previous jobs. Why do you cherish this accomplishment?
4. Describe your one- & three-year work and/or personal goals.
5. Why would you be a perfect fit for this job opportunity? Why do you want to be considered?