FINANCIAL ADVISOR - POSITION DESCRIPTION

JOB SUMMARY/ORGANIZATIONAL IMPACT: The Financial Advisor ("FA") provides support for both the President of Corporate Retirement Plans and Account Managers of Summit. The focus of this position is to provide back office analytical support and expertise. The FA must make certain the clients' needs are satisfied and serves as a liaison between Summit associates and producers. The advisor is expected to initiate contact with the various vendors to provide accurate information and solutions to the clients in a timely manner. The FA will assume the responsibility of preparing and marketing all incoming proposals and finalize data for prospects and clients.

RESPONSIBILITIES/ ESSENTIAL FUNCTIONS:

- Evaluate plan offerings and funds for clients and prospects and analyze performance. Evaluate fees for current and prospective clients. Provide benchmarking analysis to be reviewed with the Retirement Plan committee.
- Prepare data for client and prospect meetings, plan reviews, and Request for Proposals. Review for meetings in conjunction with the Division Leader and vendor partners. Create and/or review spreadsheets, proposals, plan information and presentation data.
- Develop an Investment Policy Statement in conjunction with the Division Leader and client. Prepare Cetera required forms for new and existing clients.
- Analyze retirement plan data, Morningstar reports, fund performance, and use relevant material for plan reviews, proposals, and committee meetings.
- Provide advisory and enrollment support to Corporate Retirement Plan participants, plan sponsors and Wealth Management clients and prospects.
- Collaborate with vendor and support partners to stay current on: industry trends, product development, investment products and offerings, etc.
- Continue to gain industry knowledge through continuing education, vendor meetings (internal and external) industry news, conference call/webinars, and licensing renewal process.
- Document all calls, incoming and outgoing correspondence, tasks, and appointments necessary for reporting purposes in CRM.
- Recognize areas of weakness, provide suggestions, and update documentation for process improvement.
- Perform general and administrative duties as assigned.

REQUIRED QUALIFICATIONS

Knowledge

- **Customer and Personal Service.** Knowledge of principles and processes for providing customer and personal services. This includes customer needs assessment, meeting quality standards for services, and evaluation of customer satisfaction.
- **Clerical.** Knowledge of administrative and clerical procedures and systems such as word processing, managing files and records, stenography and transcription, designing forms, and other office procedures and terminology.
- **Legal**. Knowledge of financial information privacy laws, the Gramm-Leach-Bliley Act (GLBA), the Employee Retirement Income Security Act (ERISA), and other applicable financial laws.
- **Securities.** Knowledge of the securities industry as it relates to selling investment products and giving advice.

Skills

- **Active Listening**. Giving full attention to what other people are saying, taking time to understand the points being made, asking questions as appropriate, and not interrupting at inappropriate times.
- **Speaking**. Talking to others to convey information effectively.
- **Service Orientation**. Actively looking for ways to help people
- **Critical Thinking**. Using logic and reasoning to identify the strengths and weaknesses of alternative solutions, conclusions or approaches to problems.
- **Social Perceptiveness**. Being aware of others' reactions and understanding why they react as they do.
- **Persuasion**. Persuading others to change their minds or behavior.

Abilities

- **Oral Expression**. The ability to communicate information and ideas in speaking so others will understand.
- **Speech Clarity**. The ability to speak clearly so others can understand you.
- **Problem Sensitivity**. The ability to tell when something is wrong or is likely to go wrong. It does not involve solving the problem, only recognizing there is a problem.
- **Written Expression**. The ability to communicate information and ideas in writing so others will understand.
- **Team Player**: The ability to work cooperatively and effectively in a team environment to accomplish group goals.

Experience:

- 3 years' experience in the retirement plan industry with a focus on analytics
- Experience using Microsoft Office suite, Office365 experience preferred

Education Required:

- Bachelor's degree with emphasis in finance preferred.

Certifications:

- Series 7
- Series 66

Active State Life, Accident, and Health License preferred