Job Title: Financial Advisor

Department: Investments

Purpose of Position: Serve as the day to day financial advisor to the clients. Primary responsibility is to do all to cultivate relationship with existing client base including meeting with clients in person and provide ongoing advice and relationship building via phone, email and in person.

Reports To: Director of Investments

Job Requirements:

- **Experience:** Must have a minimum of 4 years of experience in the Financial Services business working within an RIA and/or Broker Dealer
- **Scholastic Requirements:** Must be a college graduate; Additional Certifications (CFP, CFA, etc.) and/or graduate degree preferred
- **Trade Licenses:** Preferred=Series 7 & 66 (or equivalent); Acceptable=Series 6, 63 & 65

Key Job Responsibilities
1. Advising clients on many aspects of their financial lives
2. Customer Service
3. Department Operation Support
4. Trading
5. Meeting materials

Advising clients on aspects of their financial lives
- The company will rely on you to be a lead advisor for its clients. This means, meeting with clients regularly to review their portfolios and make any recommendations.
- Additionally, other forms of client interaction are encouraged either via telephone calls or e-mails.
- Our clients invest in a wide array of alternative investments, so knowledge of these investments will be required.
• You are expected to be knowledgeable on the overall financial markets and be able to answer questions pertaining to the markets that our clients might have.
• Attending other client meetings in support of one of the other advisors will be a requirement
• Establishing and building client trust is a critical component of the job

**Customer Service**
• Our level of responsiveness to our clientele is a competitive advantage of ours and an important part of our culture
• Ensure client requests for information are responded to quickly and effectively
• Have strong communication skills (oral and written-emails, letters, presentations, conference calls, individual calls)
• Provide assistance in collection of data for other lead advisor who may require help in a customer inquiry
• Support “On-Boarding” of new clientele as part of the investment team as required
• Help to self-manage the team activity tracker, come prepared to regular department meetings with most recent status of assigned activities

**Department Operation Support**
• Proficiency in Morningstar Office software is essential. Daily interaction of client account information will be required.
• Assist the team in client cashiering needs (wires, checks, etc.)
• Perform periodic reporting on work progress, project completions & additional ad-hoc reporting as needed
• Organize, manage & track multiple detailed tasks and assignments with frequently changing priorities in a fast-paced work environment

**Trading**
• Job will include trading responsibilities for investor portfolios. Pappas Financial runs our own investment strategies across two different custodians and either as a result of a portfolio strategy change or because a client needs cash, trades will need to be placed. This job will include as a key area of responsibility ongoing account trades
• Specifically, when we do make changes to our proprietary models, it can result in over a thousand trades needing to be carefully managed over a short period of time.

**Prepare Meeting Materials**
• As a small independent company, we prepare our own meeting materials. A part of the job would require you to build
the meeting materials for meetings with your clients as well as those of the firm’s. The most consistent aspect of these materials will be a performance report that lists the investments of the client and how each has performed.

**Competitive compensation package and employee benefits:**

Salary and discretionary bonus commensurate with qualifications, experience and performance

Excellent health, dental and vision insurance (employee pays portion of premium) vacation, holidays, sick time, short and long-term disability insurance, life insurance, long term care insurance, 401k plan with employer match and annual company events