



Resources Investment Advisors

Title: Mentor, Financial Advisor
Division: Financial Elements
Status: Full time, Exempt
Reports to: Vice President of Client Experience

October 2018

JOB PURPOSE SUMMARY

We are seeking energetic and reliable professionals to join our team as a Mentor. A Mentor is a Financial Advisor that supports our Financial Wellness program – Financial Elements. Our Mentors are often the first point of contact for the participants eligible for Financial Elements, so we are interested in hiring individuals with a commitment to customer satisfaction and an ability to make quick and accurate decisions. The successful candidate will be able to accept ownership for effectively completing an overview of the client's or prospects situation, advising them on financial courses of action and/or solutions that would best meet their financial needs and providing them with the best possible financial and retirement outcomes. The candidate will be able to accomplish these things all while keeping customer satisfaction at the core of every decision and behavior.

KEY RESPONSIBILITIES AND DUTIES

- Help Financial Elements plan participants, prospects, and clients by answering questions, providing advice and solutions to meet financial needs
- Proactively search out, explore and develop new business, emphasizing new clients and/or prospect development from participants in the Financial Elements Program
- Proactively make outbound calls at key life events for Financial Elements participants such as new hires for companies or job change.
- Service client's needs and monitoring the client's financial investments, deferrals and overall financial picture including life, LTC, LTD, college planning, retirement planning, HAS, roth and pretax deferrals, etc. with integrity and respect to the organization as a whole will be paramount.
- Make recommendations consistent with changes in economics and the financial condition of the markets as well as the client's needs and objectives.
- Manage large amounts of inbound and outbound calls in a timely manner
- Identify customers' needs, clarify information, research every issue and provide solutions and/or alternatives
- Evaluate clients and prospects in terms of their financial needs, current portfolio holdings, available investment capital, and help retirement plan participants identify their investment and savings needs and objective
- Meet with clients and prospects via phone calls, conference calls and webinars for initial and on-going consultations.

- Lead Generation – cultivate relationships and opportunities via contact with plan participants and centers of influence
- Close new business relating to revenue generation
- Oversee opening new accounts, transferring accounts & maintaining appropriate account records
- Maintain on-going relationship with clients and provide ongoing support, services and financial consulting services.
- Foster solid relationships with sales teams within the RIA organization to provide a maximum value to both customers and to the Financial Elements program.
- Follow communication “workflows” when handling different topics and solutions
- Build sustainable relationships and engage customers by taking the extra mile
- Keep records of all conversations in our databases in a comprehensible way
- Frequently attend educational seminars to improve knowledge and performance level
- Maintaining any continuing education requirements made necessary for compliance and certifications held
- Meet personal/team qualitative and quantitative target
- Comply with all compliance policies, procedures both at the firm and regulatory level.
- Assist with developing, implementing & maintaining the training program for effective and efficient on-boarding of future Mentors

QUALIFICATIONS

- This position requires conformity to legal and regulatory requirements and guidelines associated with NASD, SEC & Resources Investment Advisors compliance.
- Will be required to demonstrate technical expertise in financial matters, must have an understanding of overall sales process for financial products and services.
- Previous experience in a customer support role
- Track record of over-achieving quota
- Strong phone and verbal communication skills along with active listening
- Familiarity with CRM systems and practices
- Customer focus and adaptability to different personality types
- Ability to multi-task, set priorities and manage time effectively
- An undergraduate degree (e.g., Business, Accounting, Finance, or Economics) is mandatory with graduate level education desirable (MBA, JD, etc.).
- At Least two years experience in the financial services industry (preferred experience in sales of financial products)
- Must have excellent communication and organizational skills
- Must have excellent follow up skills and ability to interact in team environment that has a high level of energy and activity.
- Public speaking skills needed
- Must be computer literate (e.g., Microsoft Excel, PowerPoint, etc.).
- NASD Series 6, 63 & 65, and state life, accident and health insurance licensing.

- Willingness to complete the CFP a plus.
- Must be able to travel for overnight stays.
- Certifications such as CFP, CTFA, or Series 7 are desirable but not required.
- Solid experience as successful sales professional selling professional services is strongly desired.
- Knowledge of trust, investments, and other investment products.
- Completion of a sales training/new business development program during career would be viewed positively.
- High level of energy and drive, a self-starter, enthusiastic, with the motivation to be highly successful in a relationship-selling environment.
- Must possess a high level of intelligence and commitment to long-term professional development (lifelong learning and certifications).
- Should be a proven “team player” who can demonstrate tact and diplomacy as necessary; as well as the drive and aggressiveness for results when required.
- Good numbers/quantitative skills in order to handle the financial planning/administrative side of the business...a strong detail orientation is a must.
- Should possess a professional demeanor and style to establish credibility with bank customers and potential customers, as well as to develop solid relationships throughout the organization.

COMPENSATION

A competitive base salary coupled with an aggressive incentive program will be provided to the successful candidate along with an excellent, well-rounded corporate benefits program, including the company 401(k)/profit sharing program.

Note: This job description should not be construed to imply that these requirements are the exclusive standards of the position. Incumbents will follow any other instructions, and perform any other related duties, as may be required. Reasonable accommodation will be provided to qualified individuals with disabilities. The employer has the right to revise this job description at any time. The job description is not to be construed as a contract for employment.