JOB DESCRIPTION
FINANCIAL ADVISOR

Critical features of this job are described under the headings below. They may be subject to change at any time due to reasonable accommodation or other reasons.

JOB TITLE: Financial Advisor **LEVEL:** Mid-Level
REPORTS TO: President, COO

JOB SUMMARY: The Financial Advisor is responsible for advising and servicing designated clients of Ruggie Wealth Management using the methodology, procedures and service level standards required for this position.

DUTIES AND RESPONSIBILITIES:

Specific Duties include, but are not limited to:

Advisory Services
- Follow all RWM methodology, client procedures and office protocol.
- Develop and present required reporting and documentation for designated clients, including financial plans, retirement distribution strategies and analysis reports.
- Conduct miscellaneous performance and issue research as needed.
- Must meet and remain current with all licensing and registration requirements for an investment advisor according to state and SEC regulations.

Client Relations
- High-touch relationship management involving face-to-face meetings, phone calls and emails to deliver the highest level of client service.
- Conduct client review calls at agreed upon intervals (quarterly, semi-annual or annual).
- Maintain all client activity, communication, meetings and notes in Salesforce.com. Track all client transfers and monies invested as well as all action items for the client including deposits, distribution requests, name changes, etc.
- Return all client calls and emails within 24 hours.
- Ensure all products have been discussed and approved by RWM Investment Committee prior to solicitation to clients.

Qualifications:
- 3 to 5 years of work experience in the financial advisory profession
- Bachelor's degree or commiserate experience required
- Series 65 Certification required
- Must possess or be in the process of obtaining CFP or similar designation
- Current book of business required
- Salesforce or CRM experience preferred
- Excellent communication skills (written, verbal, telephone)
- Comfortable and skilled in public speaking
- Excellent customer service skills
- Relational and able to build trust
- Results-oriented and highly motivated
- Able to work effectively as part of a team
- Research skills and quest for knowledge
- Possesses confidence, professionalism and integrity
- Enjoys working in fast paced environment
- Skilled in issue prioritization and multi-tasking
- Must be a problem solver and able to make decisions quickly
- A positive attitude and go-getter interested in growth potential

- Able to work independently and take initiative
- Microsoft Office knowledge
- Must be willing to travel (less than 10%)

Accountability:

- Deliver superior customer service
- Maintain a high level of client retention
- Promote the referral and growth of RWM's ancillary businesses
- Comply with all RWM's processes and expectations for an advisor
- Complete tasks with attention to detail, accuracy and timeliness
- Overall productivity and quality of work

The employee is expected to adhere to all agency policies and to act as a role model in the adherence to agency policies. I have read and understand this explanation and job description.

____________________	____________________
Employee Signature	Supervisor's Signature
____________________	____________________
Date	Date