Financial Advisor 1 (FA1)
Role Description

Job Title: Financial Advisor 1
Reports To: Executive Director of Operations & Client Experience & Owner

Job Purpose:
At AEGIS Financial, we commit our energies, intellect and experience in helping attain the financial goals of our clients by providing the highest level of service and delivering high-quality investment alternatives. As a Financial Advisor, you will acquire and deepen relationships with clients by providing comprehensive financial planning and advice to assist individuals and families pursue their financial goals. Working one-on-one with clients, our advisors develop individually tailored financial plans comprised of personalized investment products and services. Advisors provide ongoing assistance by offering services to help clients accumulate wealth and safeguard their assets

Company Culture:
AEGIS Financial is a company whose culture is defined by the character of its team members. As a result, each team member must possess an unyielding desire to exceed client expectations. We serve our clients the way we want to be served. Being entrusted with our clients' livelihood and their life's work means that every activity and interaction requires the highest degree of ethics and professionalism. Our continued success depends on a diverse array of professionals working together towards common goals and each of us promoting a shared culture of excellence and mutual accountability.

AEGIS Financial is also a unique work environment that values teamwork and strategic cooperation among its advisors and its team. Each team member brings a unique skill set and experience to the organization, and we value and respect everyone's unique talents. AEGIS Financial expects all team members to be respectful of each other and strive to make collaboration and cooperation among members of the firm a cornerstone of our culture and success.

Accountability is also a key element of success. AEGIS Financial is committed to a proactive culture so that each of us is accountable for the very best for our clients within the agreed-upon timeframe.

Principal Accountabilities:
- Evaluate clients' financial needs, current holdings and available investment capital to assist them in identifying their investment objectives
- Monitor client portfolios and make recommendations consistent with changes in economic and financial conditions as well as the client's needs and objectives
- Analyze, draft and implement comprehensive financial and investment plans to meet client objectives

- Knowledge of technology and software planning tools to analyze and report financial data
- Educate clients on the on-line tools and resources available to them
- Prepare and deliver clear, effective and professional presentations
- Attend client/prospect events and seminars
- Anticipates client needs, solves problems and follows through with exceptional service
- Responds to incoming emails and telephone calls in a professional manner to ensure that the client's request is met in a timely fashion
- Assist in the development of financial investment models
- May participate on AEGIS's investment committee
- Enter and execute authorized securities trades
- Clearly understand regulatory and RJ requirements
- Interacts with Raymond James home office staff to develop cooperative relations and guarantee timely follow through on requests
- Interacts with Professional Partners to develop cooperative relationships to meet client's needs
- Documents all relevant action items and tasks being tracked in Redtail CRM
- Executes project-related tasks to contribute to the firm's development
- Stay current and informed of new investment products and market trends
- Participate in training and development to continually improve the ability to provide the best advice and service for clients
- Participate in trainings in an area of expertise for the firm if required
- Cultivates ideas to develop or help improve office systems and protocol
- Conduct productive networking and prospecting in the community
- Identify and develop new business of $3 million through existing and potential clients
- Execute daily, weekly and monthly activities to build new business

Knowledge/Experience/Skills:

- 2-3 years of prior sales experience is in the business industry
- Agreement with management to work towards obtaining a professional designation such as Certified Financial Planner (CFP).
- Prior insurance or financial experience is desired
- Knowledge of economic and accounting principles, practices and financial markets
- Bachelor's degree strongly preferred
- Series 7
- Series 65
- Life, Health and Disability license
- Clean CRD/U4 record
- Previous production minimum of $ 100,000 or assets under management of $15,000,000 preferred
- Outlook email and calendar
- Microsoft Excel, Word, Adobe PDF

- CRM Database experience and task management is helpful
- Ability to improvise and proactively assist in client requests or firm tasks
- Self-directed and motivated
- High communication skills (written and oral)
- Strong analytical skills
- Superior time management and organizational skills

Attributes and Behaviors:

- Develops and maintains positive working relationships with others
- Arrives to work each morning on time
- Actively shares ideas and information on firm roles, responsibilities and systems
- Completes tasks accurately and timely
- Admits to mistakes immediately and works quickly to resolve the issues
- Maintains a high customer service ethic and is passionate about meeting and assisting clients
- Prepare and deliver clear, effective and professional presentations
- Effective listening and questioning techniques to identify clients' needs
- Good verbal and written communication skills to communicate ideas and thoughts in a clear, professional manner
- Demonstrate excellent work ethic
- Takes pride in the achievement of team objectives
- Assists team members unprompted
- Keeps pace with changes and acquires knowledge/skills necessary for business development

Working Conditions:

- Tasks closely governed by policies and procedures
- Flexibility in working hours to attend client events or meeting outside normal business hours
- Professional to Business Casual Dress Code
- Occasional travel

Benefits:

At our firm, we understand that our employees work hard, so we offer a benefit program to help you achieve a successful work-life balance. Our continued success depends on a diverse array of professionals working together toward common goals while striving for independence, innovation, intelligence and integrity. It's a rewarding foundation where unique individuals are given the tools to excel through their own hard work and determination. We foster a friendly work environment where all associates are considered family.

Additional benefits for this position include:

- Quarterly bonus plan

- The bonus is equal to 20% of quarter revenue in excess of the revenue base. The revenue base is equal to ¼ of the prior year revenue produced by each FA. The revenue base can be adjusted upwards due to the purchase of or merger with an additional book of business. The revenue base is not adjusted for market performance, loss of client, etc.
- Health & Group Term Life Insurance Plan
- 401(k) retirement program with company match
- Paid Time Off
- Paid Holidays
- Continuing Education Reimbursement Plan
- A complete list of benefits can be found in the Employee Handbook

Salary Range: $50-$80K

Next Career Path: Financial Advisor 2