



Financial Advisor 3 (FA3) Role Description

Job Title: Advisor

Reports To: Executive Director of Operations & Client Experience & President/Senior Advisor

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 in pursuing their financial goals. Our team of advisors develops individually tailored financial plans comprised of personalized investment products and services. Advisors provide ongoing assistance by offering services to help clients accumulate wealth and preserve 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.

The team at AEGIS Financial has 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 company are a cornerstone of our culture and success.

Accountability is also a key element of success. The team at AEGIS Financial is committed to a proactive culture so that each of us is accountable for the very best service for our clients within a reasonable 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 help meet client objectives



- Advisor should have a vast knowledge of estate planning
- 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
- Anticipate client needs, solve problems and follow through with exceptional service
- Respond 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
- Enter and execute authorized securities trades
- Clearly understand regulatory and RJ requirements
- Interact with Raymond James home office staff to develop cooperative relations and guarantee timely follow through on requests
- Utilizes professional relationships to help meet client's needs
- Document all relevant action items and tasks in Redtail CRM
- Execute 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
- Serve as a member of the AEGIS Financial Investment Committee
- Participate in trainings in an area of expertise for the firm if required
- Cultivate ideas to develop or help improve office systems and protocol
- Conduct productive networking and prospecting in the community
- Identify and develop new business of \$10 million through existing and potential clients

Knowledge/Experience/Skills:

- 10 years minimum of prior sales experience in the business industry
- Prior tax, insurance or financial experience is required
- Knowledge of economic and accounting principles, practices and financial markets
- Bachelor's degree required; Master's degree or other related professional certification is a plus
- Series 7, 65 or 66
- Life, Health and Disability license
- Clean CRM/U4 record
- Previous production minimum of \$400,000 or assets under management of \$60,000,000 preferred
- Proficient in Outlook email and calendar
- Proficient in 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
- Leadership and training skills to direct work of CSA or AA as applicable

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
- 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
- Effectively listens and questions techniques to identify clients' needs
- Has good verbal and written communication skills to communicate ideas and thoughts in a clear, professional manner
- Demonstrates 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 company, 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.

- Quarterly bonus plan
- 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: \$90-\$120K
- Next Career Path: