JOHN G. ULLMAN & ASSOCIATES, INC.

COMPREHENSIVE FINANCIAL MANAGEMENT SERVICES

Sales Representative

John G. Ullman & Associates, Inc. is seeking an experienced Sales Representative to join our Firm. This is an essential position in our company, and will play a significant role in the company's strategic plans to grow and expand the business.

Working from the Corning Office, the Sales Representative will work in conjunction with the Sales Manager, a Client Service Team or a Group of Financial Advisors, as well as with the Marketing Team to execute a comprehensive sales and business development plan designed to meet the goals and objectives of a Client Service Team and/or the Firm, with a focus on client acquisition and revenue growth. Assist the Sales Manager, Client Service Team or Designated Group Financial Advisors to leverage the Firm's marketing and communication materials, marketing and sales programs, and the sales techniques that will be utilized to support new business development initiatives for a Client Service Team and/or the Firm. The Sales Representative will generate sales leads using a relationship-based approach that will involve developing ongoing, meaningful relationships with external business partners, as well as current and prospective clients; marketing the Firm's competitive position as a leader in the Industry, the value proposition provided by our services and capabilities, and the strong commitment to our Ethics and Values. The Sales Representative will have an essential leadership role in successfully converting sales initiatives into new business.

This role presents a tremendous growth opportunity for a person with 3+ years of experience in financial services or consulting, or a more experienced marketing or business development professional with interest in transitioning into financial services.

The Role:

The Sales Representative will:

Sales and Marketing Programs

- Develop strategies and action plans to implement specific marketing and sales plans customized for each prospective client to enhance the firm's ability to convert sales initiatives into new business.
- Develop plans to utilize and leverage the Firm's marketing and communication materials, to create awareness and emphasize the Firm's competitive position as a leader in the industry, the value proposition provided by our services and capabilities, and the strong commitment to our values.
- Develop and implement marketing and sales programs and the sales techniques that will effectively support the overall new business development goals for a Client Service Team and/or the Firm.

Market Development

- Establish, develop and maintain business relationships with current and prospective business partners and prospective clients to generate new business for a Client Service Team and/or the Firm.
- Promote the Firm's brand to individual business partners, and prospective clients.
- Build and foster a network of referrals to create new opportunities for business development and revenue growth.
- Identify opportunities to conduct information-only presentations, such as seminars, conference presentations, and other efforts designed to create awareness about the Firm's competitive position as a

leader in the industry, the value proposition provided by our services and capabilities, and the strong commitment to our values.

- Perform professional presentations to prospective business partners and/or individual business partners, to create awareness about the Firm's competitive position as a leader in the Industry, the value proposition provided by our services and capabilities, and the strong commitment to our values and ethics.

<u>Sales Activities</u>

- Develop sales strategies that create opportunities to attract and acquire groups of prospective clients and/or individual prospective clients.
- Develop sales presentations, supported by the Firm's marketing and communication materials, which are custom-designed to meet the specific needs and expectations of prospective client groups or individual prospective clients.
- Make telephone calls and make in-person visits to conduct sales presentations to prospective clients to generate sales leads.
- Coordinate sales activities and assignments with the Sales Manager, the Lead Financial Advisor of a Client Service Team, and/or the Executive Management Team; share sales leads that are positioned to be converted into new business; provide detailed information including prospect biography/profile, background about the relationship, the referral source, the sales strategy, action steps taken, and the recommended acquisition strategy.

<u>Monitoring and Reporting</u>

- Utilize the Firm's technical resources and systems to enter, track and monitor all sales activities and prospective client interactions.
- Maintain accurate records, including sales call reports, expense reimbursement forms, billing invoices, and other documentation; monitor the systems to ensure Account Executives are following up by entering Sales and Marketing Activities into the system.
- Monitor market channeling and referral networking activities to determine how effective the Firm is generating sales leads.
- Monitor and track the status of the acquisition strategies being implemented in collaboration with the Account Executives.
- Monitor and track the conversion rates from sales leads to client acquisitions; identify issues and/or opportunities to enhance our processes to increase the conversion rates to meet the Firm's new business development, client acquisition, and revenue growth objectives.
- Make a front-line assessment of marketing conditions and advise the Sales Manager, the Executive Management Team or a Lead Financial Advisor; as well as the Marketing team of the findings.
- Build and maintain ongoing awareness of new products and services, competitor activities, and other research conducted.
- Supplies the Sales Manager, the Executive Management Team, or the Lead Financial Advisor with oral and written reports regarding sales activities, sales plan updates, prospective client expectations, problems, competitive activities, and the potential for new products and services.
- Keep the Sales Manager, the Executive Management Team, or the Lead Financial Advisor informed by submitting activity and results reports, such as daily call reports, weekly work plans, and monthly and annual market segment/channel analyses.
- Monitor competition by gathering marketplace information on pricing and fee structures, products and services offered, customer service techniques, etc.
- Recommends changes in products, services, and policy by evaluating results and competitive developments.

Professional Training and Development

- Keeps abreast of products and services being offered throughout the industry, market conditions, competitive activities, advertising and promotional trends through reading of pertinent literature and consulting with marketing and technical service areas.
- Participated in trade shows and conventions.
- Maintains professional and technical knowledge by attending educational workshops, reviewing professional publications, establishing personal networks, and participating in professional associations and societies.

Qualifications:

- Bachelor's Degree from an accredited college or university, preferably with a concentration in Marketing or Business Administration with a concentration in Business, Marketing, Public Relations, Advertising or related field.
- 3-5 or more years of relevant and successful experience in financial sales or marketing is required; 5-7 years of successful and relevant financial sales and marketing experience, focused on business development and lead generation activities in the financial management/services industry is preferred.
- Financial Management/Planning experience with Series 6 & 63 licenses would be beneficial.
- CPF, CFA, CFS, CIC or CIMA certifications would also be beneficial.
- Proven track-record of success executing integrated sales and marketing campaigns and driving business development, client acquisition and revenue growth through lead generation.
- Expertise in all channels for lead generation techniques including: direct mail, email, social media, web technology, referrals, and strategic partnerships with Centers of Influence. Experience with RIA and fee-based advisor distribution channels is preferred.
- Execute multiple components of the marketing communications mix, with a proven ability to successfully plan and drive programs that create value, differentiation and competitive advantage.
- Must be able to effectively perform and deliver in an entrepreneurial environment, effectively manage multiple programs, priorities and partnerships simultaneously, prioritize work to consistently meet objectives and deadlines.
- Creative strategic thinker and tactical implementer; resourceful and flexible; able to adjust to changing priorities; analytical with the ability to offer new ideas that drive and improve results.
- Demonstrated aptitude for problem-solving; ability to determine solutions for clients (Consultative Sales approach).
- Highly organized with strong attention to detail; demonstrated ability to maintain detailed and accurate records in a fast paced and changing environment; meet and/or exceed established deadlines.
- Proven experience as a self-managed, highly driven relationship manager, with the ability to establish credibility with key decision makers and prospective clients; can work collaboratively and cross functionally; highly effective in forging team-based working relationships with co-workers and external business partners.
- Superior interpersonal, communication, and negotiation skills; enthusiastic and self-motivated; able to motivate others to achieve results.
- Strong written skills; demonstrated ability to write compelling and persuasive materials that drive difference making results.
- Strong Presentation Skills; demonstrated ability to effectively and persuasively address internal and external constituents; must possess a successful track-record of effectively interacting and presenting information on an individual basis and in a group setting.
- Must be able to effectively use a variety of informational systems, applications, and desktop software (MS Word, Excel, and PowerPoint); must be able to develop and generate reports; prepare presentation and slide shows. Experience working with systems and applications used in the financial services industry would be beneficial.
- Must be able to work long hours, which could include evenings and weekends.

- Valid Driver's License.
- Travel requirement up to 25%

Perks & Benefits

- Ability to have long-lasting and visible impact on clients' lives
- Opportunity to be a part of the firm as we grow and expand to meet the current and future needs of our clients.
- Work for an organization that is strongly committed to ethics and values, offers a warm and welcoming environment, is flexible, and is supportive of training, development, and continuing education.
- Work with a group of talented and very experienced CFP designated Financial Advisors, with strong professional networks.
- Comprehensive dental and health care benefits, life insurance, 401K, SEP-IRA
- Access to all JGUA portfolio management, financial planning, and income tax services for you and your family.
- Regular company outings
- Community Involvement

About Us

John G. Ullman & Associates is a different kind of Wealth Management Company. Our "one firm" model provides high net worth individuals and families a single place to turn for all aspects of their financial lives, including financial planning, wealth management, and "special projects" catered to their unique needs. Our relationships with our clients are long-standing, often spanning decades and multiple generations. Our headquarters is in Corning, New York, in the beautiful Finger Lakes region, with a second office in Rhinebeck, in the Hudson Valley region of New York.

To Apply:

If you are interested in applying please e-mail a letter of interest and resume to Scott Schoonover at schoonovers@jgua.com . Please indicate you are applying for the Sales Representative position and use reference code JGUA-SR