



JOB DESCRIPTION

Position Title:	Director of Financial Planning
Department:	Client Services
FLSA Class:	Exempt-Administrative
Job Type:	Full Time
Standard Week:	40+ Hours Per Week
Report To:	President & Chief Operating Officer

Job Description: The Director of Financial Planning will play a key role in ensuring the proactive delivery of high quality client service provided by the members of our Client Services Team to maintain and improve our exceptionally high levels of client retention.

The Director will be responsible for managing the Firm's client services activities. Working in conjunction with the Executive Management Team, the Director will establish annual goals and objectives and develop, implement, and monitor the Firm's financial planning and wealth management process. The Director will lead and manage the Advisors and Associate Advisors that are assigned to be individual contributors, and collaborate with the leaders and the members of the Firm's Wealth Management Teams, to communicate the annual goals and objectives, and monitor their activities to ensure they are aligned with the firm's financial planning and wealth management process, and are supporting the firm's goal of "proactively being there for anything the client's money touches". The Director will coordinate with other members of the senior management team to ensure that other key teams that provide service to our clients are aligned with the overall delivery of our comprehensive services.

The Director will also be responsible for recruiting, training and the retention of staff assigned to the Client Services Team assigned as individual contributors, as well as working in collaboration with the leaders of the Firm's Wealth Management Teams to assist them as they grow and develop their teams. This will include identifying and attracting qualified candidates; developing on-boarding and training programs for new hires to learn the Firm's client services model; coordinating new hire participation in the Series 65 and/or CFP Designation Process; and coordinating the completion of annual performance evaluations, and developing career and development plans to support the firm's goals for staff growth, advancement and retention.

The Director will support the alignment of the Client Services Team with our overall Sales and Marketing strategy and those teams that directly impact the achievement of our organic growth goals; identify opportunities for the members of the Client Services Team to participate and/or contribute to business development initiatives; coordinate the business development activities of the Client Services Team; coordinate lead referrals to members of the Client Services Team; and support Advisors that proactively identify prospective leads and develop relationships to secure potential new business.

This position will contribute to the firm's operating margin goals by diligently preparing and managing the annual operating budget for client services and exercising due diligence in the review and approval of purchase orders, business expenses and reimbursement requests.

Working in conjunction with the Executive Management Team, the Advisors and Associate Advisors who are assigned as Individual Contributors, the leaders of the Firm's Wealth Management Teams and their team members, the Relationship Development Team and the Marketing Team; the Director will be responsible for ensuring that the client

services process promotes the Firm's commitment to ethics and values at the highest levels, our commitment to our fiduciary duty in fulfilling our obligation to act in the best interest of our clients, our competitive position as a leader in the industry, and the value proposition provided by our services and capabilities.

Job Duties

Manage Client Services Activities:

- Work in conjunction with the Executive Management Team to establish and achieve goals and objectives each fiscal year.
- Develop, implement, and monitor the firm's financial planning and wealth management process to achieve the firm's goal of proactively delivering high quality comprehensive client service based on a standardized delivery model.
- Manage the Advisors and Associate Advisors that are assigned to be individual contributors, and collaborate with the leaders and the members of the Firm's Wealth Management Teams, to communicate the annual goals and objectives of proactively delivering high quality client service to maintain and improve our exceptionally high levels of client retention, and monitor their activities to ensure they are aligned with the firm's financial planning and wealth management process, and are supporting the firm's goal of "proactively being there for anything the client's money touches".
- Work in conjunction with the Tax Services Team to ensure tax services are proactively provided to the clients.
- Engage in relationship management activities with clients and prospective clients, answer questions, address concerns, and conduct exit interviews, as appropriate.

Recruiting, Training, and Staff Retention:

- Work in conjunction with the Executive Management team to review the staffing needs for client services on an on-going basis.
- Work in conjunction with Human Resources to develop recruiting plans, assist in networking and outreach to identify and attract prospective candidates, and participate in the interview and selection process.
- Work in conjunction with Human Resources to develop, implement and monitor an on-boarding plan for each new hire.
- Develop internal training plans for new Advisors and Associate Advisors to learn how to combine financial planning skills, their passion for providing exceptional client service, and their ability to counsel clients on all aspects of financial planning, wealth management, and special projects to meet the unique needs of our clients, based on the firm's financial planning and wealth management process.
- Develop a plan for each Associate Advisor to complete the requirements to achieve their Series 65 and/or CFP Designation.
- Monitor and coordinate all continuing education (CE) required to maintain their professional designations.
- Coordinate the completion of annual performance evaluations, develop career and development plans to support the firm's goals for staff growth, advancement and retention.

Business Development:

- Work in conjunction with the President/Chief Operating Officer, the Relationship Development Team and the Marketing Team to establish goals and objectives for the Advisors and Associate Advisors who are assigned to be Individual Contributors, and the Wealth Management Teams to participate and contribute to business development initiatives.
- Work with Advisors and Associate Advisors who are assigned to be Individual Contributors and collaborate with the leaders and/or members the Firm's Wealth Management Teams to develop relationship management strategies to support the firm's goal of maintaining or exceeding our exceptionally high-levels of client retention.
- Encourage Advisors and Associate Advisors who are assigned to be Individual Contributors and collaborate

with the leaders and/or members the Firm's Wealth Management Teams to develop enhancements to their client relationships through cap adds, and the development of relationships with the next generation of family members.

- Work in conjunction with the Relationship Development and Marketing to coordinate lead referrals to Advisors and Associate Advisors who are assigned to be Individual Contributors and/or to the leaders and/or members the Firm's Wealth Management Teams to support the achievement of the firm's organic growth goals.
- Encourage Advisors and Associate Advisors who are assigned to be Individual Contributors and/or the leaders and/or members the Firm's Wealth Management Teams to proactively identify prospective leads and provide support as they develop relationships to secure potential new business in support of the Firm's organic growth goals.
- In conjunction with Marketing and the Relationship Development Team, coordinate the business development activities of the Advisors and Associate Advisors who are assigned to be Individual Contributors and/or the leaders and/or members the Firm's Wealth Management Teams to leverage their technical expertise by assigning them to conduct group presentations, webinars and podcasts; writing blogs, and/or articles, and attending and networking at special events, etc.
- Coordinate and monitor the participation of the Advisors and Associate Advisors who are assigned to be Individual Contributors and/or the leaders and/or members the Firm's Wealth Management Teams in the Firm's Sales Training and Development Program. Ensure that members of the Client Services Team are contributing information and content and are actively engaged in the discussions during each session.

Administration:

- Prepare annual budget
- Review and approve purchase orders, as appropriate
- Review and approve expense reports
- Review and approve reimbursement requests
- Coordinate time off requests by the Advisors and Associate Advisors who are assigned as Individual Contributors to ensure client services has the appropriate staffing coverage to meet the business needs of the Firm.
- Conduct annual performance evaluations for the Advisors and Associate Advisors who are assigned as Individual Contributors, as appropriate. Collaborate with the leaders of the Wealth Management Teams to contribute information regarding the performance of the team members, as requested.
- Develop goals and objectives (OKRs) for the Advisors and Associate Advisors who are assigned as Individual Contributors. Conduct meetings to review and adjust the OKRs on a quarterly basis. Collaborate with the leaders of the Wealth Management Teams to contribute information regarding goals and objectives (OKRs) for the team members, as requested.
- Conduct regular catch-up meetings with the Advisors and Associate Advisors who are assigned as Individual Contributors, as well as with the leaders of the Wealth Management Teams to review client service activities and provide guidance and feedback as needed.

Job Requirements:

- Must have strong values and be committed to the highest level of ethics and integrity.
- Excellent academic record; four-year college degree required, a graduate or advanced degree is strongly preferred.
- Professional Designation as a Certified Financial Planner (CFP) is strongly preferred.
- 10+ years of experience as a Certified Financial Planner (CFP) is strongly preferred.
- Must have demonstrated the ability to lead and manage a group of client service professionals.
- Must be able to effectively work collaboratively with other departments and coordinate all service and support to meet the unique needs of our clients.

- Must be able to develop training and development plans and deliver training to individuals and/or groups of people effectively.
- Must have strong interpersonal skills and the ability to effectively communicate verbally and in writing with internal and external constituents.
- Demonstrated passion for providing exceptional client service and a strong commitment to the firm's fiduciary responsibility to our clients.

Equipment, Software and Materials Used:

- Microsoft Office Suite (Outlook, Word, Excel, PowerPoint)
- Advent (Client Account Information System)
- Pivotal (CRM)
- Video Conferencing Software
- Internet
- Social Media
- Digital Marketing Materials