John G. Ullman & Associates, Inc.
COMPREHENSIVE WEALTH MANAGEMENT SINCE 1978

JOB DESCRIPTION

Position Title:	Associate Advisor
Department:	Client Services
FLSA Class:	Exempt-Administrative
Job Type:	Full Time
Standard Week:	40+
Reports To:	President/Chief Operating Officer

Job Description: This is an essential position in our firm, and will play a significant role in the firm's strategic plans to grow and expand the business.

The Associate Advisor will participate in the firm's Apprenticeship Program. The Associate Advisor will be assigned to work with Senior Advisors on a rotational basis to learn how to combine a passion for exceptional client service, the ability to counsel clients on all aspects of financial planning, wealth management, and "special projects" catered to meet the unique needs of our clients. In addition, the Associate Advisor will learn how to engage in the firm's business development activities and learn techniques to develop business, which will allow them to build their own book of business.

The Associate Advisor will learn how to interact with clients by attending meetings organized and conducted by Senior Advisors; select opportunities to interact directly with clients will be set up by Senior Advisors to promote the growth and development of the Associate Advisor's skills developed over the course of the training process.

In addition to participating in the firm's Apprenticeship Program, the Associate Advisor is expected to complete an external CFP® Educational Program, pass the CFP® Exam, and successfully complete all of the steps required to achieve your Certified Financial Planner® designation (if you do not already possess your CFP® designation).

The Associate Advisor role offers a tremendous growth opportunity for a person who is a recent graduate with an interest in financial services, as well as financial professionals with 1-5 years of experience in financial services or consulting; or a more experienced professional in marketing or business development with interest in transitioning into financial services.

The training and development process is designed to teach the Associate Advisor how to perform the following duties:

Job Duties
Serve as the Financial Manager and Advisor for our high net-worth clients; developing highly trusted and long-term relationships.
Administer the firm's comprehensive financial management services on an ongoing basis.
Provide customized analysis to include cash flow analysis, statements of financial condition and insurance evaluations; retirement analysis and survivorship analysis; and review of estate structure and associated documents including wills, living trusts, powers of attorney, and health care proxies.
Prepare and review personal income tax returns; develop tax planning strategies.
Consult and assist with other areas, such as employee benefits, stock option exercise, real estate, career/business planning, financial negotiations, medical and custodial care planning, education financing, annual gifting, mortgage/insurance shopping, change of life circumstances, and other special needs.
Develop financial plans and implementation strategies to support the financial goals and objectives of the client.
Counsel and advise clients regarding their financial goals and objectives, portfolio structure, and the performance of their investments.
Strategically and proactively engage in the firm's business development activities through interactions with the Relationship Development Team, which will include meeting with prospects referred by the Relationship Development Team. Meetings with prospective clients will be the continuation of relationship management steps designed to nurture and cultivate prospective clients, conducting in-depth meetings with prospective clients to promote the value proposition of the firm with the goal of securing them as new clients.
Develop new business directly through interactions with referral sources and prospective clients. Identify and document prospective clients, implement relationship management steps designed to nurture and cultivate prospective clients, conduct in-depth meetings with prospective clients to promote the value proposition of the firm with the goal of securing them as new clients.

Required Qualifications:

- Excellent academic record; four-year college degree required.
- A minimum of 1-5 years of applicable professional experience.
- Strong interest in financial planning and wealth management required; must be willing and able to successfully complete the Certified Financial Planner® certification.
- Excellent interpersonal and communication skills
- Proven track record as a self-starter, with high levels of intensity and motivation
- Demonstrated passion for providing exceptional client service
- Must have strong technical skills and experience with Microsoft Office (Work, Excel, PowerPoint,

Outlook).

- Must be detail oriented and have experience maintaining records in a CRM system.
- Must be able and willing to travel.

Preferred Qualifications:

- Certified Financial Planner ® Designation
- We also will consider students who have graduated from a CFP accredited finance program, and/or from a finance program that requires the completion of an academic curriculum aligned with the firm's comprehensive financial management services.
- Excellent academic record; graduate or advanced degree.
- A minimum of 1-5 years of applicable professional experience in banking, law, insurance, business development, marketing, consulting, or finance; we also welcome individuals wishing to make a mid-career change.
- Experience working with industry specific software.
- Experience working for a RIA, Fee-Only, Fiduciary.

Equipment, Software and Materials Used:

- Microsoft Office (Word, Excel, PowerPoint)
- Outlook (Email and Scheduling)
- Industry Specific Database Systems
- Remote Access Software
- Remote Access Meeting Software