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

JOB DESCRIPTION

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

Job Summary: 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 Advisor will combine a passion for exceptional client service, the ability to counsel clients on all aspects of financial planning and wealth management, and their abilities to complete "special projects" catered to meet the unique needs of our clients.

The Advisor will be expected to 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 in an effort to secure them as new clients. In addition, the opportunity exists and the Advisor is encouraged to develop new business directly through interactions with referral sources and prospective clients.

To join the firm as an advisor, you must have your Certified Financial Planner ® designation and have extensive experience working directly with clients as the Financial Manager and Advisor.

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:

- Must be a designated Certified Financial Planner®
- Excellent academic record; four-year college degree required; graduate or advanced degree is preferred.
- A minimum of 7-10 years of working as a Certified Financial Planner®.
- Must have experience working directly with clients as the primary financial advisor.
- Experience working for a RIA, Fee-Only, Fiduciary would be preferred.
- Must have experience in business development, willing to dedicate time to strategically and proactively engage in the firm's business development activities and be able to develop and grow a book of business.
- 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, and Outlook).
- Must have experience working with industry specific software
- Must be detail oriented and have experience maintaining records in a CRM system.
- Must be able and willing to travel.

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

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