



401K Generation is a Registered Investment Advisory firm providing financial and fiduciary services to employer sponsored 401(k) plans and private wealth management services to individuals. As a 3(16) Plan Fiduciary, we manage certain day-to-day administrative tasks for 401(k) plans nationwide. We are committed to helping individuals prepare for their financial future and assisting businesses across America with the administrative burdens of a 401(k) plan. We hold ourselves accountable and pride ourselves on delivering uncomplicated and innovative retirement plan solutions. This dynamic, fast-growth company is seeking a Financial Advisor to join our team and grow with us.

**Job Title:** Financial Advisor

**Report to:** Chief Compliance Officer

**Status:** Full Time/Exempt

**Position Summary:**

As a key member of the financial advising department, you will be responsible for providing comprehensive investment advice to our clients. The successful candidate will hold the necessary licenses, possess excellent communication skills, and demonstrate a deep understanding of financial markets, investment products, and wealth management strategies. Developing a Private Wealth book of business and meeting quota will be required.

**Job Description:**

- Promote and adhere to the company's core values; Accountability, Communication, Commitment, Service Excellence, Integrity, and Collaboration
- Promotes established investment models and strategies that are suitable for targeted clients.
- Construct and manage diversified investment portfolios based on research, including FI360 scoring methodology.
- Articulate the story of the company and identify ideal qualified prospects including terminated 401(k) plan participants.
- Identify and attend community events to develop networking opportunities.
- Consistently achieve stated quota.
- Retrieve and compile information related to the client and Firm to ensure accurate information is recorded in the Client Record Management System (CRM).
- Work with TPA partners to ensure optimal service quality and participate as needed in various internal and external strategy meetings.
- Resolve escalated client issues.
- Prepare financial and plan documents required to lead annual client reviews.
- Conduct research that may include financial markets, individual securities, mutual funds, ETF's, ESG's, alternative investments and coordinate third-party money manager guest speakers for Advisory/Investment Committee meetings.
- Accept and enter client orders.
- Perform Portfolio rebalancing and reporting.
- Participates in the business development process with prospective clients to deepen relationships and perform ongoing fact-finding to uncover organic growth opportunities.
- Ensure the best service possible while always considering bottom line profitability.
- Facilitate Enrollment meetings for 401k clients.

- Possess a high level of confidence, perseverance, and a strong desire to strive and achieve in a successful commissioned sales environment.
- Stay current on industry regulations and compliance standards to ensure all recommendations and actions adhere to legal and ethical standards.
- Maintain all necessary licenses and certifications and uphold the highest ethical standards in all client interactions.

#### Job Qualifications:

- Valid Series 7/66 or Series 65 license required.
- Bachelor's Degree or equivalent work experience required.
- Minimum of five years' experience in the financial industry
- Knowledge of the retirement plan industry preferred.
- Proficiency in Microsoft Office applications required.
- Experience with Morningstar Workstation preferred.
- Entrepreneurial drive and a desire to build book of business by leveraging personal network to generate new clients, build, leverage and maintain relationships, while providing superior client service, have resilience to recover from rejection and have the self-discipline to focus on activities that will drive results.
- Excellent collaboration, organizational, time management, customer service and problem-solving skills and the ability to work accurately and meet deadlines with frequent interruptions.
- Exceptional verbal, written and visual communication skills.
- Strong analytical and problem-solving skills to evaluate facts and data using sound and mature judgment.
- Ability to communicate effectively to all levels of internal and external contacts verbally and in writing.
- Ability to work both independently and as part of a team.
- Must be authorized to work in the US.
- Must be able to pass a criminal background check.

#### Other Duties:

Please note this job description is not designed to cover or contain a comprehensive listing of activities, duties or responsibilities that are required of the employee for this job. Duties, responsibilities, and activities may change at any time with or without notice.