Job Posting – Associate Advisor
January 2022

Who we are

Douglas Stroud is an insurance and investment advisor that knows the importance of building savings and having adequate insurance protection. We help clients create plans based on sound advice and help them discover the best strategies to meet their objectives, leading them to a successful financial future.

We are expanding our team, located in Regina, by adding an Associate Advisor.

The primary focus of the Associate Advisor will be to help enhance client services and sales for our existing investment and insurance clientele.

The successful candidate for this career will have:

- Mutual fund license from IFIC and/or CSC course completion (required)
- LLQP Life license (preferred) or the ability to obtain within the first 6 months
- Documented prior successes with managing investment accounts (required) and selling life insurance (an asset)
- CFP designation or working towards obtaining it (an asset)
- Familiarity with financial planning tools (NaviPlan/Conquest), SalesForce, and Morningstar Advisor Workstation
- A desire to help people plan for their future and the ability to motivate them to make decisions and act (sales ability)
- Internal drive, an entrepreneurial spirit, and desire to grow
- A friendly, positive, and personable nature with the ability to build relationships
- Professional verbal and written communication skills
- Strong organizational, time management, communication and priority setting skills to meet deadlines
- Ability to multi-task while maintaining a high degree of accuracy

What you will be doing

Servicing existing clientele

- Service existing investment and insurance portfolios and make on-going recommendations to them
- Review and respond to clients changing needs and financial circumstances
- Provide exceptional relationship attention and service to all clients
- Leverage the principal advisor's time so they may focus on their ideal and top clients
- Support relationship strategies with prospects and centres of influence
- Joint appointments with Advisor and Senior Associate Advisor as required
- Actively prospect within the existing block of clients to grow the client base and continue to build intergenerational business

Financial Planning

- Conduct in-depth reviews of clients' financial circumstances, current situation, and future goals, with an emphasis on retirement projections
- Explain issues and concepts related to the overall financial planning process
- Input client data in financial planning software and identify problem areas and opportunities

- Prepare potential solutions and motivate prospect/client to take action and implement recommendations
- Collaborate with our retirement and estate financial planning team for more complex situations

Product Solutions
- Follow through on the Financial Planning by implementation of product solutions
- Recommend and explain different types of product solutions to clients and guide them to choose the most appropriate for their situation
- Analyze and develop portfolios and prepare reviews for investment clients
- Service and sell life, critical illness, disability and segregated funds

Compliance
- Ensure all Know Your Product (KYP) and Client Focus Reform (CFR) requirements are in place
- Research, analyze, and keep Know Your Product information current
- Work with new and existing clients to update Investor Profiles and ensure Know Your Client information is current
- Remain informed on product, regulatory, and industry changes through continued education and ethics requirements
- Strictly adhere to all compliance and regulatory requirements and processes

If you are interested in continuing your financial services career with Douglas Stroud, please apply with a cover letter to kim@thepersonalcoach.ca who is assisting us in the hiring process. We are looking forward to getting to know you.