Service Advisor Job Description

Rockwood Wealth Management is an established financial advisory firm serving clientele from our office in New Hope, PA in beautiful Bucks County. We are in the family wealth management business focusing on high-net worth clients, families, and business owners. Through a planning process built on integrity, expertise, and attention to every last detail, we navigate our clients through every phase of financial planning and discretionary investment management. We have been serving this area and regional niche for more than 15 years and have a constantly evolving succession plan in place to ensure that we'll be here 40+ years from now.

This is a unique opportunity unlike most in the financial services industry. First, our firm is completely independent…there is no broker dealer affiliation. Therefore, as fiduciaries, our loyalty belongs exclusively to our clients. We do not practice market timing, we are not a product-centric firm and we absolutely do not have a sales culture. We focus equally on our clients' comprehensive financial planning deliverables and investment management.

Second, we offer a competitive compensation structure and an equity ownership track for employees who demonstrate hard work and leadership characteristics while supporting the long-term goals of our firm. You will be a member of a collaborative and supportive team of high-performing colleagues all working hard to help us grow a successful and multigenerational business. At Rockwood, you won't be stuck building your own book…all clients are clients of the entire firm; this is not an eat-what-you-kill position…we're not that kind of firm.

The right candidate for this position is going to be equally comfortable generating an ultra-detailed financial plan and engineering and allocating a household portfolio across multiple accounts of different tax types…and then expertly communicating both to the client in a way the client enjoys the process.

If you are an aspiring wealth advisor (not a product salesperson) we encourage you to contact us to determine if you might be the right fit for our firm.

Client Interaction:

- Develop trusted relationships with new clients while deepening and elevating existing client relationships.
- Maintain regular, proactive client communication across all mediums.
- Serve as Associate Advisor for majority of client relationships and Lead Advisor for select clients, with expectation of leading approximately 25% of your client relationships over time.
- Client service, including planning updates, portfolio changes, and reviews; and thought leadership in all facets of wealth planning.
- Prepare for, participate in, and conduct client meetings focused on financial planning strategies, planning opportunities, and address client needs.
- Complete timely follow-up communication and implementation of agreed upon action items.
- Participate in associations, groups, community organizations in a way that reflects Rockwood's value and your own.

Financial Planning Contributions:

- Lead and support the financial planning process for new and existing clients, including data gathering, analysis, plan preparation, implementation, and ongoing monitoring.
- Coordinate with clients' outside professionals, including attorneys, accountants, insurance professionals, and other strategic alliances, to help ensure integrated and well-executed advice.

- Stay current on financial planning strategies, tax law changes, estate planning developments, investment planning concepts, and industry best practices.
- Engage in ongoing financial planning education. Read industry journals and present your ideas to team, be active in local and national financial planning groups, and attend seminars and conferences.

Operational Support:

- Learn and adhere to firm policies and procedures.
- Establishment or execution of new accounts, transfers, deposits/withdrawals, trades, and other items when needed.
- Prepare reports and analysis for client service requests and client meetings.
- Work on firm-wide projects to improve overall client deliverables and firm efficiency.
- Be active in solving technology problems and applying the latest technology to our firm.
- Development of current and future Financial Planning Analysts and Associate Advisors; including oversight and coaching of client-facing team.

Qualifications and Character Requirements:

- B.A. or B.S. degree from accredited four-year university.
- CFP® designation or similar.
- FINRA Series 65 license or equivalent.
- 5-8 years of experience in wealth management, financial planning, investment advisory, or related financial services field.
- Deep professional curiosity about financial planning issues related to managing wealth (including but not limited to tax planning, risk management and insurance planning, estate planning, retirement planning, education planning, charitable giving, small business planning, corporate executives, debt instruments, etc.).
- Expertise in portfolio management, strategic asset allocation, and the ability to comfortably communicate that expertise to our clients.
- Confidence, presence, and the professional disposition to work with our most sophisticated clients.
- Relentless positivism.
- Specific experience working with MoneyGuidePro, Microsoft Dynamics, Tamarac, and Fidelity or Schwab institutional custodian platforms are helpful, but not required.
- Personal integrity and ability to discreetly handle confidential data.

Salary and Benefits Information:

- Base salary commensurate with experience plus incentive bonus plan.
- 401k plan with safe harbor matching employer contribution and discretionary profit-sharing plan.
- Company covered employee medical and dental benefits.
- Employer sponsored STD/LTD.
- Reimbursement for CFP® Exam fee, if not yet taken.
- Approved education and conference allowance.
- PTO and Paid Holidays.
- Hybrid/location flexible work environment: 3-1-1.
- Membership to local gym.

All inquiries can be confidentially submitted to Careers@RockwoodWealth.com with your CV and cover letter.