



Job Description – Investment Advisor Assistant

Division: Wealth
Reporting to: Assistant Manager, Wealth Operations
Career Level: Staff
Pay Type: Hourly
Classification:

Job Overview

The primary purpose of this role is to contribute to the success of the vision of FirstOntario Wealth Management. This role provides sales support to assigned Investment Advisors in managing their portfolios and maximizing their productivity by providing administrative support and high quality customer service to Member/client. This position is the first point of contact for all incoming communication and correspondence and responds to general client inquiries. This position will maintain the contact management software, schedule appointments on behalf of the Investment Advisor and liaise with a variety of internal departments as well as external vendors.

Role

In the role, you will be responsible for the following:

- Service the financial needs of clients and prospective clients, in partnership with the Investment Advisors, coordinate their transactional needs and help resolve customer issues, concerns and/or problems promptly, as required
- Assist the Investment Advisors by helping to process the business, entering data on electronic platforms, booking client appointments, uncovering sales opportunities and preparing client files using tools required to provide the ideal client experience
- Assist Investment Advisors with processing of business, using dealer-provided systems, and following up on transactions and transfers
- Handle incoming and outgoing Member/client phone calls and emails
- Respond to requests for information in a timely manner
- Service Members'/clients' general day-to-day requests
- Communicate internally with various operational and administrative departments
- Prepare professional correspondence and reports, documents and files
- Execute trade orders under the supervision of the Investment Advisor
- Maintain account lists and compile statistical information and reports
- Process and follow-up on Member/client documentation for proper maintenance of accounts
- Assist with servicing existing Member/clients and prospecting for new clients
- Explain products and services recommended to Member/clients and answer their general questions
- Perform various administrative duties and conduct research, as required
- Complete zero percent loan reports and variable rate changes, as required
- Consider health & safety as a primary concern to ensure the overall well-being of the department
- Perform other duties as we may need you to do

Required Skills and Qualifications

- Completion of a highschool diploma or equivalent
- 1 – 2 years investment dealer experience
- Work within established work hours to meet Member/client service demands up to and including weekends
- Must have completed Canadian Securities Course (CSC) and Conducts & Practices Handbook Course (CPH); and hold a valid Investment Representative (IR) license though IIROC
- Candidates may be considered if they have successfully completed the CSC in the past 30 months; and who are currently enrolled in CPH. If successful, such candidates will be required to successfully complete the CPH and obtain IR license within 45 days of hire
- Intermediate to advanced computer skills: Proficiency with Microsoft Office Suite
- Well-rounded knowledge of securities industry
- Must be detail-oriented and organize
- Demonstrated ability to meet deadlines and work under pressure with a strong ability to multi-task
- Ability to work with employees and clients at all levels is essential
- Excellent communication and interpersonal skills
- Strong initiative and ability to work effectively with minimum supervision



Job Description – Investment Advisor Assistant

- Ability to prioritize, and manage multiple deadlines and tasks
- Ability to work well within a team environment
- Must have superior interpersonal and communication skills
- Inherently demonstrate a high level of integrity and trustworthiness
- Ability to effectively problem solve to find creative and beneficial solutions
- Be flexible and adaptable to changing priorities
- Ability to share knowledge and best practices
- Receptive to feedback and coaching
- Work within established work hours to meet member service demands
- Must have a positive attitude and willing to go above and beyond
- Maintain current knowledge of the Financial Service Industry and trends
- Be able to take action in difficult and challenging situations and deal with uncertainty
- Do the right things for the right reasons
- Ability to identify and mitigate enterprise risk factors and ensure compliance with applicable regulations, legislation and FirstOntario policies and procedures

Accommodations for persons with disabilities are available upon request during the application process.