PREPARED RETIREMENT INSTITUTE
EDUCATE.PREPARE.MANAGE.

215-997-5700
105 Montgomery Ave., Suite 1053
Lansdale, PA 19446

Firm Description: Based in the Philadelphia-metro area, Prepared Retirement Institute is a fee-only financial planning and portfolio management firm comprised of advisors who serve as 'chief financial officer' for high-net-worth members of the widowed community, business owners, individuals & families across the country.

We know that every investor's journey is deeply unique. Prepared Retirement Institute utilizes a collaborative investment philosophy that emphasizes a team approach to decision-making, empowering members to confidently navigate the complexities of retirement planning and financial security. Advisor-Client partnerships also include a dedicated Relationship Manager who provides white glove concierge-level service, ensuring any ask of our members is minimal (including paperwork).

Please visit our website at www.preparedretirementinstitute.com to learn more.

Title: Financial Advisor

Manager: Megan LeBarron

Qualifications

- Candidates must have Bachelor's degree.
- 3+ years of relevant work experience - financial planning, accounting, or other equivalent
- Licensed to trade - Series 7 & 66, Series 65 or CFP
- Exceptional written and verbal communication skills required

Role Requirements

- Sales-oriented. Our advisors cultivate and source potential new business through a variety of lead channels supported by Prepared Retirement Institute.
- Ambition. A constant desire to learn and passion for financial planning.
- Organization. Capable of multi-tasking and completing tasks in the assigned time frame.
- Attention to detail. The ability to complete forms accurately and communicate clearly, particularly in writing.
- Compliant. A willingness to document client correspondence manually when necessary, and conform to all other SEC regulations.
- Consideration. Be committed to checking our systems for information before interrupting a team member's work day. Time is our most valuable asset and we make every effort to communicate asynchronously when possible.
- Reliability. When given ownership of a task/project, the team should feel confident knowing it will be completed on time.
- Aptitude for technology. An ability to effectively use our technology stack and the capacity to think strategically about ways we could use our existing software to better serve our clients.
    - Knowledge of financial software programs such as eMoney, Microsoft, Schwab, DocuSign and Advyzon, preferred.

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Role Responsibilities

- Seek out, attract, acquire, grow, and maintain long-term profitable Client relationships, becoming the Clients' trusted partner through data-driven, solution-based financial planning.
- Develop a qualified prospect list in our CRM and follow internal processes to capitalize on the Client Lifecycle Lead/Prospect process.
- Provide documented guidance and advice to individuals and families regarding financial matters, utilizing knowledge of tax and investment strategies, securities, insurance, pension plans, and real estate to make recommendations to meet Client goals.
- Analyzes Client data and develops financial plans best suited to individual clients' needs while in accordance with fiduciary guidelines set by regulatory agencies (SEC, FINRA, etc.).
- Follows all PRI Written Supervisory procedures and proactively updates contact records (potential clients, clients, businesses, vendors, centers of influence) in the firm's CRM software / other provided technology.
- Utilize firm-provided workflows, communication and activity templates to serve clients according to the Client Lifecycle and constantly be on the lookout for ways to improve our current processes.
- Adheres to the PRI Compliance Manual, Client Segmentation guidelines, Client Lifecycle processes and follows the PRI Ongoing Service Calendar to provide regular touchpoints and PRI-branded deliverables.
- Participate in the creation of financial planning content and deliverables to be used in the PRI blog, website, and newsletter.
- Proactively update our firm's portfolio management software to ensure that household portfolios are accurately tracked, reported, and rebalanced when applicable.
- Ensure all requisite state/federal advisor licensing requirements are up-to-date.
- Be willing to help recruit, hire, train, and manage others on the Advisory team as the firm continues to grow.

Schedule and Location

Full-time, 40 hours per week, Monday to Friday, typically spanning a portion of the hours of 8:00am ET and 5:00pm ET. Primarily on site in Montgomeryville, PA (105 Montgomery Ave., Suite 1053).

Professional Compensation

- Base salary - $75,000/yr - $250,000+/yr, tier dependent upon experience, education, and revenue served
- Bonus compensation – Quarterly bonus of 25% of revenue serviced
- Long-term incentive compensation and path to partnership available
- 401(k) - Company contribution up to 4% matching, paid annually
- Federal holiday pay – Determined by NYSE market holiday schedule
- Personal time off (PTO) – 15 days initially, increasing with time in service
- Employer-sponsored health insurance
- Equipment provided
- Other perks - On the job training, professional development, equipment stipend, Summer Fridays – early office closure

Other Benefits

Prepared Retirement Institute is committed to the success of our advisors. An employment package with PRI includes

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the following benefits:

Practice Management

- Technology stack
  - Secure and compliant email, internal communication and document storage/exchange through Microsoft 365 (Office, Outlook, Teams, SharePoint) and Adobe
  - Calendar management and automated scheduling, via pre-built templates, through Calendly
  - Virtual communication channels with clients through Zoom and Teams
  - Client relationship management, built-in templates, and operational support (workflows, task templates) through the CRM (Advyzon)
  - Portfolio management and performance reporting through Advyzon
  - Held-away asset management (to increase AUM for existing clients) through Pontera
  - Tax planning, projections and deliverables for qualified clients through Holistiplan
- Compliance support
  - All policies, procedures, and manuals maintained and updated by PRI staff/CCO in accordance with SEC-guidelines
  - ADV maintenance/updates and filings provided by PRI staff/CCO
  - Adherence to annual compliance calendar and auditing provided by PRI staff/CCO
  - Regulatory oversight, guidance and audit support provided by ACA
  - Communications archiving and oversight provided by Smarsh
- Marketing
  - PRI supports advisor lead generation through the offering of multiple marketing channels - website, social media, podcast, email
  - Cohesive branding and PRI merchandise provided for advisor use and client gifts
  - PRI business cards provided
  - Networking support available
- Conference opportunities and continuing education available (full-time/W2 only)
- Cultural support through off-site events and teambuilding with colleagues

Operational Support

- Office space, utilities, liability insurance
  - Dedicated office space and conference space provided at 105 Montgomery Ave.
  - Internet and phone service /support provided
  - Regular cleaning service and building maintenance provided
  - General (on-site) liability insurance covered (excludes E&O)
- Office equipment and supplies
  - Laptop equipment (W2 only) and IT support provided by Total Technology Resources
  - Office supplies provided
  - Printing and mailing provided
- Support staff
  - To assist you in serving your clients, PRI maintains a dedicated client operations staff available for utilization

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- Salary, unemployment insurance, and employee benefits to staff provided on behalf of Advisor
- Recruiting and training of new support staff provided
- Human resource management of staff provided