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 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

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, Advyzon, Holistiplan, and custodial interfaces preferred.

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Role Responsibilities

- Attract, acquire, and grow long-term, profitable client relationships, becoming a trusted partner through data-driven, goals-based financial planning.
- Build and actively manage a qualified prospect pipeline within the CRM, following PRI's Client Lifecycle framework to convert leads into engaged clients.
- Provide documented financial planning guidance across tax strategies, investments, insurance, retirement planning, estate considerations, and real estate, delivering recommendations tailored to each client's objectives.
- Collect and analyze client data to develop customized financial plans that meet fiduciary standards and remain fully compliant with applicable regulatory requirements (SEC, FINRA, etc.).
- Maintain accurate and timely CRM documentation, following all PRI Written Supervisory Procedures and ensuring complete records for clients, prospects, COIs, and related contacts.
- Deliver a consistent and exceptional client experience by using firm-approved workflows, communication templates, and activity standards—and by actively identifying opportunities to improve operational processes.
- Adhere to the PRI standard fee schedule, Compliance Manual, Client Segmentation guidelines, and Client Lifecycle processes, aligning all client interactions with the PRI Ongoing Service Calendar and corresponding deliverables.
- Contribute to the creation of financial planning content for PRI's blog, website, newsletter, and other marketing channels, advancing firm thought leadership.
- Maintain and update serviced client portfolio data within PRI's portfolio management system to ensure accurate tracking, reporting, and rebalancing as appropriate within the client's stated suitability guidelines.
- Partner with the Compliance Team to ensure all state and federal advisor licensing requirements remain current and in good standing.
- Support the growth of the advisory team by assisting with recruiting, onboarding, mentoring, and developing new advisors as the firm scales.

Schedule and Location

This exempt position is 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). Hybrid and remote work opportunities may be available.

Professional Compensation

- Base salary - $75,000/yr - $250,000+/yr, tier dependent upon revenue serviced
- Bonus compensation - Quarterly bonus of 25% of revenue serviced
- Long-term incentive compensation and path to partnership available for interested candidates who qualify
- 401(k) - Company contribution of up to 4% annually; contributions are fully vested immediately
- Federal holiday pay - Observed in accordance with the NYSE holiday schedule
- Personal time off (PTO) - Flexible, needs-based approach; Advisors are encouraged to take time off as needed while coordinating in advance to ensure continuity of client service and coverage during surge periods
- Hybrid schedule - Work-from-home flexibility as appropriate, with in-office presence aligned to client service needs
- Medical, dental, and vision insurance available with an employer subsidy

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- Professional Development & Training - Robust onboarding, ongoing training, and access to firm leadership; opportunities to participate in the Investment Committee, Business Development Committee, and cross-functional initiatives
- Additional Perks - Collaborative culture, career-path support, Summer Fridays (early office close), and the opportunity to grow within a fast-scaling, client-centric RIA

Other Benefits
Prepared Retirement Institute is committed to providing advisors with the infrastructure, resources, and support needed to grow a successful, client-focused practice. An employment package with PRI includes the following benefits:

Practice Management

- Technology & Tools
  - Secure Microsoft 365 environment (Outlook, Teams, SharePoint, Office Suite) and Adobe for compliant communication and document management
  - Automated scheduling and meeting workflows through Calendly
  - Virtual meeting capabilities via Zoom and Teams
  - Comprehensive CRM with templates and operational workflows (Advyzon)
  - Portfolio management, trading and performance reporting through Advyzon
  - Held-away account management through Pontera
  - Cash flow projections and modeling through eMoney
  - Tax planning, projections, and client-ready deliverables through Holistiplan
  - AI-enabled meeting support through JumpAI note-taker
  - Access to preferred lending through TriState Capital Bank
- Compliance & Regulatory Support
  - All policies, procedures, and manuals maintained internally in accordance with SEC-guidelines
  - ADV updates, regulatory filings, and annual reviews managed by the PRI compliance team
  - Communications archiving provided by Smarsh
  - Ongoing oversight, guidance, and audit support provided through ACA Compliance Group
- Marketing & Business Development
  - Firm-supported marketing channels, including website, social media, podcast, and email outreach
  - Cohesive branding and PRI merchandise
  - Traditional and digital business cards (DOT) provided
  - Networking and COI development support
  - Conference and continuing education opportunities

Operational Support

- Office space, utilities, liability insurance
  - Dedicated office and conference space provided at 105 Montgomery Avenue
  - Firm-provided internet, phone service, cleaning, and facility maintenance
  - E&O and on-site liability insurance covered
- Office equipment and supplies

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    - Firm-provided laptop and IT support provided by Total Technology Resources
    - Office supplies, printing, and mailing services provided

- Support staff
    - PRI maintains a highly capable client operations team to support advisors in delivering an exceptional client experience. Support includes:
        - Full staffing costs covered by the firm (salary, benefits, unemployment insurance)
        - Recruiting, onboarding, and training of new operations staff
        - Ongoing HR management and professional development for support personnel

Interested candidates may submit their resume and a cover letter to hello@pri-llc.com.