SPW Career Path – Associate Advisors

	Intern	Associate Advisor I	Associate Advisor II	Associate Advisor III
Education	• 3rd year college	• Series 65	• Working toward CFP	• CFP
Financial Planning	• Meeting preparation	• Draft and update financial plans with oversight from LA • Familiar with modeling techniques across different software programs • Support LA in maintenance of Salesforce records and notes • Client review meeting prep-work and follow-up with oversight from LA	• Draft and update financial plans with limited oversight from LA • Model and answer broad questions with limited direction • Maintain Salesforce records and notes • Proficient with SPW's specific modeling techniques across different software programs • Distill modeling techniques and conversations into clear notes • Client review meeting prep-work and follow-up with limited oversight from LA • Draft planning recommendations with LA oversight	• Draft and update financial plans with no oversight from LA • Model and answer complex questions without direction • Mastery of planning software – EMX, FinLife and Holistiplan • Expert application of SPW's specific modeling techniques • Client review meeting prep-work and follow-up with no oversight from LA • Drafting planning recommendations with limited LA oversight • Able to independently solve problems and incorporate various considerations in new planning situations.
Financial Markets & Investment Products	• Investment research	• Basic knowledge of SPW model portfolios, investment philosophy, NDR rules, benchmarks, and strategy • Support LA with documentation regarding client risk tolerance in Salesforce • Assist LA with transitioning new assets	• Basic understanding of financial markets and current economic environment and events • Fundamental understanding of SPW model portfolios, investment philosophy, NDR rules, benchmarks, and strategy • Fundamental understanding of SPW's alternative investment offerings • Able to analyze outside portfolios and draft portfolio recommendations with LA oversight	• Fundamental understanding of financial markets and current economic environment and events • Extensive understanding of SPW model portfolios, investment philosophy, NDR rules, benchmarks, and strategy • Extensive understanding of SPW's alternative investment offerings • Able to analyze outside portfolios and draft portfolio recommendations with limited LA oversight

	Intern	Associate Advisor I	Associate Advisor II	Associate Advisor III
Servicing Clients/ Relationship Management	• Maintain client data in all systems	• Build client relationships with guidance of LA • Assist clients with online access and other technology • Address basic questions and concerns with direction from LA • Complete understanding of SPW's client service model and service standards	• Support client relationships with guidance/approval of LA • Demonstrate technical expertise in each client's financial situation • Proper escalation of client issues, propose solutions in simple cases • Address basic questions and concerns, listen to client and understand their needs, with limited direction from LA • Able to conduct 401(k) rollover calls with oversight from AAIII or LA • Able to assist with identifying outside assets and assisting LA with transitioning assets to SPW	• Manage client relationships, as assigned by LA, with limited oversight • Properly escalate client issues, propose solutions in more complex cases • Address complex questions/concerns without direction from LA. • Able to conduct 401(k) rollover calls without oversight from LA • Can use judgement and experience to independently solve problems and navigate new situations • Able to identify outside assets and transition assets to SPW with limited oversight
Servicing Team/ Mentorship	• Assist CST	• Work with CST on routine/simple client requests • Provide limited support to onboard new clients • Assist with organizing and updating EMX and client folders • Assist with tax season efforts • Train and mentor interns	• Work with CST on client requests • Enter client service tickets with direction of LA • Provide support to firm to onboard new clients • Ability to mentor and train AA1 and other employees • Update and add to Associate Advisor training plan and best practices	• Enter trade/move money tickets with direction of LA • Manage onboard of new clients for firm • Mentor AA2 and other employees • Manage and improve Associate Advisor training plan and best practices
Industry Experience		0-2 Years	1-5 Years	4-7 Years
Compensation	$20/hr	$65,000-$75,000 Base Performance & NNM Bonus	$75,000-$90,000 Base Performance & NNM Bonus	$90,000-110,000 Base Performance & NNM Bonus