15Five

Associate Advisor I Performance Review

Select a review type and participant to see associated manager review questions for them

Review Type

Manager Review

View for

Select...

Questions

Growth & development

AA II SKILLS: Financial Planning - 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 • Drafting planning recommendations with LA oversight

Add a new answer

AA II SKILLS: Financial Markets & Investment Products - 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

Add a new answer

AA II SKILLS: Servicing Clients/Relationship Management - 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 clients 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

Add a new answer

AA II SKILLS: Servicing Team/Mentorship - 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

Add a new answer

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Company Values

Rate their contribution to the company value: : Always Growing & Improving - We strive to grow and evolve both personally and as a firm. We are constantly asking ourselves how we can improve.

Never Exhibits this Value | Sometimes Exhibits this Value | Usually Exhibits this Value | Consistently Exhibits this Value | Always Exhibits this Value

Please elaborate on your answer (optional)

Rate their contribution to the company value: : We Listen - We listen to our clients and allow all team members to be heard. We believe the best ideas can come from any source.

Never Exhibits this Value | Sometimes Exhibits this Value | Usually Exhibits this Value | Consistently Exhibits this Value | Always Exhibits this Value

Please elaborate on your answer (optional)

Rate their contribution to the company value: : Committed to Excellence - We are committed to providing exceptional service and have established a culture of excellence that rewards exceptional execution.

Never Exhibits this Value | Sometimes Exhibits this Value | Usually Exhibits this Value | Consistently Exhibits this Value | Always Exhibits this Value

Please elaborate on your answer (optional)

Rate their contribution to the company value: : Accountability - We do what we say we are going to do, and everyone is personally accountable for delivering on their commitments.

Never Exhibits this Value | Sometimes Exhibits this Value | Usually Exhibits this Value | Consistently Exhibits this Value | Always Exhibits this Value

Please elaborate on your answer (optional)

Rate their contribution to the company value: : Be Great, Stay Humble - We always strive for greatness, but are humble in our successes. No egos and no one person is bigger than the team.

Never Exhibits this Value | Sometimes Exhibits this Value | Usually Exhibits this Value | Consistently Exhibits this Value | Always Exhibits this Value

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Please elaborate on your answer (optional)

Rate their contribution to the company value: : Integrity - We are honest, trustworthy and transparent. We always do the right thing, even when no one is looking.

Never Exhibits this Value | Sometimes Exhibits this Value | Usually Exhibits this Value | Consistently Exhibits this Value | Always Exhibits this Value

Please elaborate on your answer (optional)

Rate their contribution to the company value: : Lead By Example - We guide and inspire through our actions, not our words. We walk the talk.

Never Exhibits this Value | Sometimes Exhibits this Value | Usually Exhibits this Value | Consistently Exhibits this Value | Always Exhibits this Value

Please elaborate on your answer (optional)

Rate their contribution to the company value: : Teamwork Through Interdependence - We are autonomous. We support each other as a team but also empower each team member to make decisions and take action.

Never Exhibits this Value | Sometimes Exhibits this Value | Usually Exhibits this Value | Consistently Exhibits this Value | Always Exhibits this Value

Please elaborate on your answer (optional)

Rate their contribution to the company value: : Strong Work Ethic - We take pride in our work and are always willing to go the extra mile to exceed expectations.

Never Exhibits this Value | Sometimes Exhibits this Value | Usually Exhibits this Value | Consistently Exhibits this Value | Always Exhibits this Value

Please elaborate on your answer (optional)

Rate their contribution to the company value: : Practice What You Preach - We do not give advice that we ourselves don't follow. Our actions always match our beliefs.

Never Exhibits this Value | Sometimes Exhibits this Value | Usually Exhibits this Value | Consistently Exhibits this Value | Always Exhibits this Value

Please elaborate on your answer (optional)

Job Skills

Planning Maintenance and Support (AA I)

• Draft and update clients' financial plans. • Become familiar with modeling techniques and functionality within financial software programs. Including becoming familiar with EMX, Holistiplan, and FinLife capabilities and best practices. • Support maintenance of Salesforce records, including Planning tab in SF updates for clients before, during, and after meetings.

Self review and Manager review Opinion scale

Needs Strong Improvement | Needs Improvement | Consistently Meets Expectations | Exceeds Expectations | Superb

Please elaborate on your answer (optional)

Support Lead Advisors for Client Meetings (AA II)

• Meeting Prep – Reviewing plan and Salesforce, requesting client updates, running appropriate reports, updating OPN, and briefing LA on any client specific items before the meeting. • Participate in Client Meetings – Listening, updating Salesforce and planning software, typing follow-up bullet points. • Meeting Follow-Up Emails/Tasks - draft follow-up email for Lead Advisors, adding bullet points to follow up emails during meeting, and finalizing draft in Leads' inbox the morning after meetings. Responsible for drafting, updating, and maintaining commonly used email templates.

Self review and Manager review Opinion scale

Needs Strong Improvement | Needs Improvement | Consistently Meets Expectations | Exceeds Expectations | Superb

Please elaborate on your answer (optional)

Investment Management Support (AA I)

• Maintain basic knowledge of SPW model portfolios, investment philosophy, tactical NDR rules, recent portfolio changes, SPW benchmarks, and strategy. • Able to draft 401k recommendations with LA oversight. • Able to draft Riskalyze recommendations and maintain profiles with LA guidance and oversight.

Self review and Manager review Opinion scale

Needs Strong Improvement | Needs Improvement | Consistently Meets Expectations | Exceeds Expectations | Superb

Please elaborate on your answer (optional)

Business Development (AA I)

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•Assist LAs with transitioning new assets to SPW. • Assist with building financial plans and investment recommendations for prospective clients •Assist with follow up and conversion to to SPW clients.

Self review and Manager review Opinion scale

Needs Strong Improvement | Needs Improvement | Consistently Meets Expectations | Exceeds Expectations | Superb

Please elaborate on your answer (optional)

Client Online Access (AA I)

• Assist with online access for custodian, EMX, and Guide Center. Handle client requests and delegate tasks in a prompt and professional manner with a high level of client satisfaction. • Address basic questions of EMX and custodian online access when needed and confirms requests and changes are compliant, correct, and completed.

Self review and Manager review Opinion scale

Needs Strong Improvement | Needs Improvement | Consistently Meets Expectations | Exceeds Expectations | Superb

Please elaborate on your answer (optional)

General Service Standards & Other Practice Support (AA I)

• Respond appropriately to team member and client communications in a timely manner. This includes acknowledging client requests same day if a complete response is not possible and using best judgement to prioritize based on the nature of the request/need. • Train/mentor interns, assist the operations team, help with tax season efforts, and provide any requested marketing support.

Self review and Manager review Opinion scale

Needs Strong Improvement | Needs Improvement | Consistently Meets Expectations | Exceeds Expectations | Superb

Please elaborate on your answer (optional)