15Five

Associate Advisor II 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 III SKILLS: Financial Planning - 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

Add a new answer

AA III SKILLS: Financial Markets & Investment Products - 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

Add a new answer

AA III SKILLS: Servicing Clients/Relationship Management - 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

Add a new answer

AA III SKILLS: Servicing Team/Mentorship - 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

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

26

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

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Please elaborate on your answer (optional)

Job Skills

Planning Maintenance and Support (AA II)

• Support in the maintenance and management of clients' financial plans. • Maintain familiarity with modeling techniques and functionality within financial software programs. Including research into EMX, Holistiplan, and FinLife capabilities and best practices for modeling client situations. It also includes checking, when appropriate, to ensure that modeling is correctly reflected in cash flow reports, monte carlo report, balance sheets, tax reports, etc. in EMX. • Support maintenance of Salesforce records, including Planning tab in SF updates for clients before, during, and after meetings. • Develop a thorough understanding of each client's financial situation. Identify financial planning and investment opportunities for SPW clients to channel through Lead Advisors. Formulating financial planning draft recommendations consistent with SPW standards and practices including (but not limited to) insurance, estate, tax, savings, budgeting, and retirement considerations.

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 II)

• Maintain general knowledge of SPW model portfolios, investment philosophy, tactical NDR rules, recent portfolio changes, SPW benchmarks, and strategy. • Able to clearly communicate and present SPW investment strategy. • Able to draft 401k recommendations and maintain client Riskalyze profiles with LA oversight. • Able to make Riskalyze recommendations with limited LA guidance and oversight. • Able to analyze outside portfolios and draft portfolio recommendations with LA oversight.

Self review and Manager review Opinion scale

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

26

Please elaborate on your answer (optional)

Business Development (AA II)

• Assist with Identifying outside assets which could be managed by SPW and bring to LA's attention. Assist LAs with transitioning assets to SPW. •Assist LAs with transitioning assets to SPW. Help vet all opportunities and provide thoughtful recommendations for investment strategies. • Develop and use follow-up system to keep qualified prospects interested. Set introductory meetings with prospective clients (over $1M portfolios), build financial plans, assist in building investment recommendations for prospective clients, follow up with them throughout the three-meeting intro process to convert them to clients of SPW.

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 II)

• Ensure online access support 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. • Ask strategic 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 II)

• 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 other Associate Advisors and help manage Associate Advisor training plans and best practices. • Support the Client Service team, help with tax season efforts, and provide any requested client 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)