15Five

Associate Advisor III Performance Review

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

Review Type

Manager Review

View for

Select...

Questions

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)

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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

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 III)

• Maintain and manage clients' financial plans. • Extensive understanding of modeling techniques and functionality within financial software programs. Including mastery of EMX, Holistiplan, and FinLife planning software and best practices for modeling client situations. Also including checking to ensure that modeling is correctly reflected in cash flow reports, monte carlo report, balance sheets, tax reports, etc. in EMX. • Management of Salesforce records, including Planning tab in SF updates for clients before, during, and after meetings. •A thorough understanding of each client's financial situation. Able to identify financial planning and investment opportunities for SPW clients to channel through Lead Advisors, including 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 Advisor for Client Meetings (AA III)

• Meeting Prep – Update & review financial plan and Salesforce, request client updates, run appropriate reports, update OPN, and brief LA on any client specific items before the meeting. • Participate in Client Meetings – Present planning portion of meeting, update Salesforce and planning software, create follow-up bullet points. • Meeting Follow-Up Emails/Tasks - draft and send follow-up email, adding bullet points to follow up emails during meeting. Responsible for drafting, updating, and maintaining commonly used email templates. • Answer client planning questions and work independently to solve problems and incorporate various considerations in new planning situations. • Enter trade/move money tickets with direction of LA.

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 III)

• Maintain fundamental understanding of financial markets and current economic environment and events. • Maintain extensive understanding of SPW model portfolios, investment philosophy, tactical NDR rules, recent portfolio changes, benchmarks, and strategy. • Maintain extensive understanding of SPW's alternative investment offerings. • Able to clearly communicate and present SPW investment strategy. • Able to draft 401k recommendations and maintain client Riskalyze profiles. • Able to make Riskalyze recommendations. • Able to analyze outside portfolios and draft portfolio recommendations with limited LA 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 III)

• Identify outside assets which could be managed by SPW and transition with limited oversight. •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, 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)

General Service Standards & Other Practice Support (AA III)

• 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 manage and approve 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)