



Associate Investment Advisor~Planning

Private Investment Advice

Department Overview

TD Wealth Private Investment Advice (PIA) is a full-service brokerage ideal for investors with substantial portfolios who are looking for professional, custom-tailored investment advice and planning, while maintaining participation in the decision-making process regarding their financial affairs. We work one-on-one with clients to design and implement a comprehensive investment strategy, recommend customized investment solutions and provide on-going portfolio monitoring and performance reporting aimed at enhancing the client's financial success over the long-term.

Role Overview

The Associate Investment Advisor (AIA) supports the lead Investment Advisor (IA) or a team of IAs by acting on their behalf through the delivery of advice and planning that aligns with their strategic direction and through involvement in client management and business development, which facilitate the accumulation of assets and convert prospects into clients. This role also provides dedicated investment support to designated client accounts within the IA's book of business.

Key Areas of Responsibility:

- **60%-Planning:** Financial planning including investment and wealth planning (IWP), wealth considerations, and retirement strategies
- **10%-Business Development:** Developing and executing on a sales plan: cold calling, events coordination, marketing initiatives, which facilitate the accumulation of assets and convert prospects into clients
- **10%-Investment Management:** Advises & recommends investments in alignment with the strategic direction of the lead IA
- **10%-Relationship Management:** Focus on how to deliver a legendary client experience through use of CRM software and the execution of a gold standard level of practice
- **5%-Business Management:** Develops & executes action plans to improve team efficiency and client experience. Develops marketing/event plans, including a social media presence
- **5%-Talent Management:** Coaching & mentoring support staff

Job Description:

Client – Business Development, Planning & Investment/Relationship Management:

- Leverage financial planning expertise to produce high quality plans that exceed the expectations of clients through a well-documented (IWP) plan that introduces appropriate Wealth Considerations
- Manage the client base for long term profitability, understanding the needs of clients and delivering products and services which fit their needs
- Provide high quality investment advice, across the full range of products (registered, non-registered, equities, fixed income, foreign, domestic, etc.) where appropriate to ensure full satisfaction of client needs
- Collaborate and partner with other TD areas by referring clients (e.g. TD Canada Trust, TD Waterhouse, TD Securities) where appropriate and respecting True Partnership Agreement to enhance the client experience
- Direct support staff in the delivery of client service according to PIA standards



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Financial:

- Generate revenue/profit for PIA, sponsoring IA and self
- Develop and execute business plans in conjunction with sponsoring IA
- Identify and develop relationships with existing clients and external referral sources to build sales and market share
- Actively promote the TD Wealth image and brand within the community through participation and leadership in business groups, and related activities.
- Integrate sales efforts with TD Canada Trust, TD Wealth and other areas to market a full range of solutions and services

Business Operations - Product & Process Knowledge:

- Be knowledgeable of and comply with TD Bank/industry service standards, policies/procedures/controls, codes and guidelines of conduct/privacy codes/securities laws and regulations and maintain high ethical standards.
- Complete familiarity and adherence to compliance and IIROC requirements as outlined in PIA's policies/procedures and IIROC's rules/regulations. This includes all aspects of new and existing account documentation, marketing materials etc.
- Ensure necessary due diligence (e.g. accuracy of information) to support the accuracy of all client activities, i.e. Know Your Client etc.

Employee:

- Establish and maintain a professional development career plan
- Provide direction and coaching to support the team

Job Requirements

Educational /Accreditations:

- *Required:* Licensed with IIROC as a Registered Representative (RR), requirement to maintain license in good standing
- *Required:* Insurance licensed (LLQP) or willingness to do so within 1 year
- *Desirable:* CIWM, CFA, CIM
- *Desirable:* Undergraduate Degree or Community College Diploma

Other Qualifications/Skills/Experience:

- Minimum three years' experience working directly with, or in support of, the wealth management needs of clients
- Current industry experience with advising and making recommendations on client investment portfolios
- Ability to proactively identify client needs and deliver a legendary client experience
- Experience building a strong rapport with clients, prospects and Centre Of Influences with ease
- Strong financial acumen and appreciation of TD's Risk Appetite
- Experience applying market insights/research and developing robust client financial plans
- Possess excellent communication skills, both written and verbal
- Expert use of industry/firm software (Croesus, ISM, FIP, Thomson ONE, Naviplan)
- Proficient with MS Office including advanced use of Excel, Word and PowerPoint
- Detail-oriented and highly organized
- Proven ability to work in a fast-paced, dynamic environment, while delivering a high level of client service



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Inclusion:

At TD, we are committed to fostering an inclusive, accessible environment, where all employees and customers feel valued, respected and supported. We are dedicated to building a workforce that reflects the diversity of our customers and communities in which we live and serve, and creating an environment where every employee has the opportunity to reach her/his potential. TD is committed to providing accommodations. If you require an accommodation, we will work with you to meet your needs.