



# New Investment Advisor

## Private Investment Advice

### Department Overview

TD Wealth Private Investment Advice (PIA) is a full-service brokerage ideal for investors who are looking for professional, custom-tailored wealth planning and investment solutions, 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 – Define your career as a TD Wealth Investment Advisor

As a new Investment Advisor (IA) you are responsible for building and managing a wealth advisory practice. Using a holistic wealth management approach, you are focused on discovering and achieving what truly matters to clients.

This is achieved through opportunities for you to:

1. Develop a wealth planning foundation through robust training and shadowing wealth planning specialists.
2. Develop practical experience by applying the wealth planning process with clients of experienced IAs.
3. Partner with an experienced IA as part of a short-term assignment, with a potential opportunity to join an IA team permanently.

TD Wealth PIA has carefully designed this position to give you the time and support you need to build your High Net Worth client base, including longer compensation certainty and additional opportunities to be compensated and mentored.

If you have an entrepreneurial spirit, connect well with people, and are interested in learning how to evaluate and develop wealth planning solutions to meet clients' full financial needs then you'll want to explore this exciting opportunity.

### Job Description – Challenge yourself

- Create and execute a business plan to identify and develop relationships with potential clients and external referral sources to build your client base and market share.
- Develop your wealth planning discovery skills, and leverage TD's planning tools to produce customized wealth plans that address your clients' wealth considerations.
- Provide goals-based wealth advice and solutions across a full range of products and services.
- Collaborate with other areas of TD to deliver a One TD approach and legendary client experience.
- Manage ongoing client relationships through annual reviews, reporting, re-discovery and ongoing advice and service.
- Actively promote the TD Wealth brand within your community through participation and leadership in business and volunteer activities.
- Be knowledgeable of, and comply with, TD Wealth and industry requirements, policies, procedures, controls, codes, and guidelines of conduct, service standards, securities laws and regulations.
- Ensure necessary due diligence to support the accuracy of all client activities and maintain high ethical standards.



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### Job Requirements – What can you bring to TD?

#### Skills & Attributes:

- **Entrepreneur:** is willing, able, and determined to develop business.
- **People person:** can develop rapport and build strong relationships.
- **Confidence:** in managing and influencing sophisticated clients.
- **Well-versed communicator:** has ability to drive meaningful, two-way dialogue.
- **Experienced problem-solver:** can generate unique solutions that respect TD's risk appetite.
- **Fresh, innovative thinker:** can offer unique insights and explain the value of advice.
- **Customer service champion:** is emotionally aware, can proactively respond to client needs.
- **Optimist:** has natural ability to leverage diverse thinking.
- **Change catalyst:** is adaptable and comfortable navigating a fast-paced, dynamic environment.

#### Education & Experience:

- Undergraduate degree
- IIROC license required within three months
- Insurance license required within four months
- CFP, CIWM an asset, but not required
- Minimum three years' experience working in a client-facing, sales or relationship-focused role.

#### 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 t