



Financial Advisors advise clients on financial plans, using knowledge of tax and investment strategies, securities, insurance, pension plans, and real estate. Duties include assessing clients' assets, liabilities, cash flow, insurance coverage, tax status, and financial objectives.

Example Positions

Account Executive, Analyst, Certified Financial Planner (CFP), Financial Advisor, Financial Consultant, Financial Counselor, Financial Planner, Investment Advisor, Portfolio Manager, Registered Representative

Competencies

Information Seeking – These Financial Advisors are driven by an underlying curiosity and desire to know more about things, people, or issues. This involves going beyond routine questions and includes digging or pressing for exact information; resolving discrepancies by asking a series of questions; or conducting less-focused environmental scanning for opportunities or miscellaneous information that may be used in the future.

Analytical Thinking – Individuals who exhibit this competency grasp the underlying concepts in complex information, are able to identify root causes of problems, and formulate solutions based on a synthesis of information.

Relationship Building – Financial Advisors develop effective long-term professional interactions with others based on trust: trust that they will always work toward the best interest of those involved and that they are sufficiently competent to provide positive results.

Strategic Thinking – Individuals who exhibit this competency develop and help drive a shared understanding of a long-term vision that describes how the organization needs to operate now and in the future.

Deliberative Decision Making – They tend to gather, consider, and evaluate all relevant information to make logical conclusions before being moved to action.

Planning and Priority Setting – Individuals who exhibit this competency identify the priorities, processes, and practical actions that are necessary to achieve an objective or realize an idea. This competency requires developing detailed action or project plans including objectives, accountabilities, time frames, standards, review stages, and contingencies.

Compliance – Financial Advisors work to ensure that they, team members, other employees, contractors, strategic partners, and other relevant stakeholders act in accordance with all pertinent rules, regulations, policies, and best practices, and that behavior in the organization meets the company's standards of conduct.

Influence and Persuasion – These Financial Advisors are effective in persuading, convincing, influencing, or impressing others in order to get them to support a specific agenda, make a specific type of impression, or take a specific course of action.

Representative Behaviors

- Asks insightful questions of others in order to gain deeper understanding of issues
- Analyzes large amounts of information to determine trends, patterns, and connections in data
- Frequently calls or meets with existing contacts
- Pursues initiatives, investments, and opportunities that fit with and support company strategies
- Evaluates short- and long-range implications of decisions
- Thinks through what is needed to meet goals in terms of people and time frames
- Maintains appropriate documentation related to compliance, regulations, etc.
- Pushes forward to achieve a close



Financial Advisor Job Model

Leading	Active Communication	Interpersonal Dynamics	Making Decisions	Solving Problems	Managing Processes	Self-Management
Leadership Maturity	Influence and Persuasion	Interpersonal Sensitivity	Deliberative Decision Making	Creativity and Innovation	Quality Focus	Composure and Resiliency
Leadership Communication	Conflict Management	Helpfulness	Decisiveness	Analytical Thinking	Compliance	Generating and Expressing Enthusiasm
Driving Results	Negotiating	Service Focus	Strategic Thinking	Learning Agility	Response Orientation	Strength of Conviction
Leading Change	Active Listening	Relationship Building	Organizational Citizenship	Scientific Acumen	Safety Focus	Achievement Motivation and Perseverance
Managing Innovation	Communicating	Collaboration and Teamwork	Information Seeking	Business Acumen	Process Management	Self-Awareness
Managing Quality	Instructing	Organizational Savvy			Time Management	Adaptability
Team Building		Global Mindset			Planning and Priority Setting	Initiating Action
Coaching and Developing Others					Organizing and Documenting Information	Accountability
Delegating					Applying Standard Practices	Professionalism
Fact-Based Management						Continuous Learning
Strategic Talent Management						Extended Task Focus
Directing						Comfort with Ambiguity

For more information on Caliper Competencies, please call us at 609.524.1200 or visit www.calipercorp.com.