

# JOB DESCRIPTION FORM

**Job Title:** Investment Executive

**Employee Name:**

**Department:** Investment Services

**Reports To:** Calvin Corriders

New  Revised

**Date:** \_\_\_\_\_

HR Approved _____	Date _____	Position Group _____
Grade _____	Position Class _____	Exempt <input type="checkbox"/> Yes <input type="checkbox"/> No
		Security Sensitive <input type="checkbox"/> Yes <input type="checkbox"/> No

**I. PURPOSE OF THE JOB (What are the end results or objectives of the position? Why does the job exist)**

Assist clients in planning for the financial needs of their business, their family and their personal financial objectives wealth accumulation, income or wealth distribution, and asset protection.  
 Manage client relationships.  
 Manage the overall operations of the department, including employee supervision ,establishing objectives consistent with the strategic plans of the organization, compliance, , community activity, employee training, , budget preparation, business plan development and execution.

**II. PRIMARY FUNCTIONS AND RESPONSIBILITIES (What duties are required for the position to exist? (List no more than 6))**

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| 1. Meet with clients other advisors such as attorneys, accountants, trust officers, and investment bankers to fully understand client's financial goals and circumstances. |
| 2. Knowledge of financial products and services.   |
| 3. Adherence to Cadaret Grant, and bank compliance/ operating standards onsite for dept.   |
| 4. Develop relationships with centers of influence and other local professionals to grow the portfolio.  |
| 5. Develop relationships with branches and departments (and other local professionals) to cross refer mutual clients.  |
| 6. Develop and implement business plan, goals, marketing and communication strategy for department.  |
| 7. Create, guide, and monitor long term client objectives and monitor financial market trends to ensure that plans are effective.  |

**III. SECONDARY FUNCTIONS INCLUDE (Responsibilities/important duties performed occasionally or in addition to the essential duties of the position.) (List no more than 3)**

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| 1. Conduct seminars and workshops on financial planning topics such as retirement planning, estate planning, and the evaluation of severance plans. |
| 2. Assist in product development and relationship services to assist customer satisfaction and sale growth.   |
| 3. Bank team roles including training, committees.  |
| 4. Periodic Public Speaking engagements.  |
| 5. Community. Engagement.   |

**IV. SUPERVISORY RESPONSIBILITIES (Provide the number and type of employee supervised, level of authority to hire and fire or to make recommendations.)**

One or more administrative assistant(s), one (or more in the future) registered representative(s) complete authority to hire, develop, review, promote, and terminate.

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**V. REGULATORY RESPONSIBILITIES**

Comply with all State and Federal Regulations, the bank's Board approved policies and management approved procedures as they relate to your job function. Complete assigned Compliance courses in a timely manner.

Support the bank's Anti-Money Laundering Program by: completing assigned Bank Secrecy Act/Anti-Money Laundering (BSA/AML), Customer Identification Program (CIP) and Office of Foreign Assets Control (OFAC) courses in a timely manner; and complying with the bank's Board approved BSA/AML, CIP and OFAC policies and related management approved procedures.

Maintain records for courses involving compliance with State and Federal laws that are not assigned by the compliance department to provide evidence of compliance with the above laws, policies and procedures. Supervisors or the employee attending such training is responsible for ensuring that evidence of training is submitted to Human Resources for archival in the employee's file.

**VI. KNOWLEDGE AND EQUIPMENT PROFICIENCY (Indicate which are required, preferred, or desirable. Include licenses and certificate.)**

Must have 5 to 10 years experience and 6, 63, and 7 licenses.
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**VII. PHYSICAL EFFORT**

Standing, walking, bending, and sitting for extended periods. Occasional lifting up to a maximum of 50lbs
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**VIII. OTHER**

Management retains the right to add to or change the duties and requirements of this position at anytime. This job description supersedes all prior job descriptions.
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