

***Investment Analyst***

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**Who We Are:**

Since 2003, Vance Wealth has served as a premier financial planning practice passionately committed to helping our families and businesses succeed at every step of their financial journey. It's a commitment that starts with carefully listening to their goals and making their priorities our own. We aim to take care of clients like family, working tirelessly to establish a blueprint for today with a vision of tomorrow, and helping provide the confidence they need to make their dreams a reality.

We pride ourselves on our client care philosophy. Vance Wealth will be by our client's side through all of life's challenges, guiding them through the most difficult of times and empowering them during the best of times. Whether advising on our client's everyday spending, retirement planning, investments, tax strategies, insurance, college savings or any other financial need, we're committed to providing them the confidence and knowledge needed to be prepared for life's uncertainties.

Providing client-centric solutions, backed by years of financial planning expertise, is not an accident. In an ever-changing world and a constantly evolving economy, we are always seeking ways to stay abreast through continuing education opportunities in the financial industry, the markets, and specific investments. What's more, we have a strong presence in our community providing education to both the public and professionals alike, through seminars, workshops, and other speaking engagements. It's a responsibility we passionately embrace every day. It means paying our experience forward at every opportunity and providing clarity when it's needed the most.

**Position Description:**

Vance Wealth is looking for an experienced Investment Analyst to join the firm. This position would report directly to the COO. This individual must be highly detail oriented, an excellent communicator, a self-starter, and excited to scale a wealth management firm. .

Position Type: Full-Time

Expected Hours of Work: Monday-Friday 8am-5pm

- Trading

- Execute trades in client accounts in a timely and accurate manner including putting cash to work, raising cash, trades due to strategy changes, tax loss harvesting, and more.
- Review portfolio drift from model and rebalance as necessary
- Manage cash levels to ensure that portfolios are efficient and not holding excessive or unnecessary cash ("Money Line Report" used to monitor and catch "high" balances)
- Focus on accurate execution of trades, build safeguards to catch errors in the event they do occur, report all errors to CCO and document using trade error log
  - KPI: Trade error rate <1%
- Investment Team
  - Play a central role in facilitating the firm's monthly and quarterly investment team meetings.
  - Build agendas in advance of meetings, focusing the team on matters that are important and timely.
  - Organize guests to join quarterly investment team meetings, to provide ongoing education and insight from leaders in the industry as well as fund managers in our strategies.
  - Document and distribute notes to the team that comprehensively capture the discussions had, issues addressed, decisions made, and action items coming from the meeting.
  - Responsible for making sure that there is adequate and timely follow through on action items derived from investment team meetings.
- Model Management
  - Serve as the team's expert on our models, internalizing the intended use case of each model and how it aligns to client objectives. These models include:
    - Strategic Equity
    - Passive Equity
    - Alpha
    - Taxable & Municipal Bonds
  - Maintain a working knowledge of the funds used in each model and how that fits together with the other funds in our models to achieve stated goals. This includes:
    - The ability to explain the investment thesis of each fund manager and why that thesis fits into the greater strategy at Vance Wealth
    - Working as the firm's primary point of contact to external fund management firms. This includes fund companies in the portfolio and those that are not.
  - Maintain search lists in Morningstar Workstation with a pool of alternative funds that could replace the existing holdings in our models
  - Manage secondary and tertiary fund lists for taxable models to be used for tax loss harvesting
  - Updating models to reflect those changes that are agreed upon by the Investment Team, execute trades in client accounts so that model changes are reflected in accounts in a timely manner, and tracking changes for internal performance reporting/tracking.
- Client & Advisor Communication
  - As the firm's leading authority on our investment strategies, this person will be asked to provide recommendations on client investment portfolios to the advisor team for discussion with clients. This will include:

- Running rebalancer reports in preparation for client meetings, so that advisors can review any recommended trades
    - Sitting in on implementation meetings for newly onboarded clients, where the initial investment strategy will be decided
    - Acting as a sounding board for advisors when contemplating changes to the client's investment strategy
  - Send emails to clients to communicate any trade activity in their accounts. Emails are expected to be sent on the same day that trades are made.
  - Respond to investment related client inquiries by working directly with the client's advisor team.
  - For the right candidate, you may be asked to speak at functions or participate in webinars, discussing investment related topics and sharing our firm's insight into these.
  - Participate in weekly Advisor meetings, providing trade related updates and discussing specific client needs
  - Serve as an educator to the advisor team, to bolster their understanding of our models, their underlying holdings, and the conviction we have in those holdings moving forward.
- Research
  - Continuously look for ways to improve our investment processes. Some items on our radar include:
    - Sleeve based trading
    - Asset type rebalancing vs. overall portfolio rebalancing (i.e. rebalance equities not rebalance between bonds & equities)
    - Client Portfolio level rebalancing vs. account rebalancing (current)
    - Asset location optimization
  - Provide the Investment Team with your personal perspective on the markets, opportunities, and risks
  - Serve as the primary driver of any investment related research projects
- Rebalancing Software Management
  - Become an expert on Quantum Rebalancer (Advyzn).
  - Manage and maintain models in the system, keeping them up to date with the models of the firm
  - Update and maintain the firm's investment processes so that trading can be easily taught to others as the team grows, and responsibilities can be delegated during absences (i.e. vacation).
  - Stay up to date on new product features/roll outs and update the COO as the trading software evolves. Always be asking, "if we implemented this how would it help our clients and our advisors?"
  - Look for ways to improve our efficiency for client execution.
- 529 & Annuity Investment Process
  - Manage the firm's 529 model investment portfolios and assist clients with putting cash to work in the appropriate portfolios
  - Review models annually to determine if any updates need to be made
  - Run lists of 529 beneficiaries who are approaching college age (14) and work with Advisor team to determine an appropriate course of action for reducing investment risk as the need for cash draws near
- Compliance
  - Assist the CCO on compliance related items that are directly related to gathering investment related information about our clients

- Cross check trade activities for team members against client related trades to ensure that all trade behavior is compliant and ethical
- Note Taking & Organization
  - Maintain thorough notes from conversations with others on the team and translate those notes into action items in the firm's CRM
  - Respond to emails and team messages in a timely fashion.
  - Time block calendar and maintain clear and open communication with the COO as it your workload and priorities
  - Use the firms' CRM as the primary place for all activity, utilizing tasks and notes for the majority of workflow.

DUTIES AND TASKS ARE SUBJECT TO CHANGE. SOMETIMES ADDITIONAL DUTIES AND RESPONSIBILITIES ARE ASSIGNED TO ASSIST WITH OTHER DEPARTMENTS. WE ASK YOU TO BE FLEXIBLE WITH THE DUTIES ON THIS LIST.

### **Abilities & Competencies**

To perform the essential function of this position, the incumbent regularly employs the following communication and reasoning abilities and competencies:

- Effectively reads and comprehends written English
- Effectively understands, speaks, and writes English
- Able to multitask under tight deadlines
- Able to actively and attentively listen
- Able to think through, evaluate and solve problems logically
- Able to organize work effectively in order to meet deadlines
- Attentive to detail
- Conduct all matters in a professional and courteous manner
- Collaborate and coordinate with workers and other departments

### **Performance of the essential functions involves the following physical and/or sensory abilities:**

- Frequently using hands to manipulate equipment or media
- Frequently typing on a keyboard
- Frequently sitting and performing deskwork
- Seeing and reading without difficulty (with or without personal corrective aides)
- Able to manipulate data on computer screens and other digital devices.
- Ability to do math problems and analyze data.
- Frequently interacting and communicating either in writing or verbally with clients or co-workers.

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