

TITLE/POSITION:	REPORTS TO:	LOCATION:	FIRM / DIVISION:
SENIOR REGIONAL ASSOCIATE	MANAGING DIRECTOR, ADVISORY DISTRIBUTION	NEWPORT BEACH, CA	CALL

ABOUT THE FIRM:

KTP's Client and its affiliates advise \$12 billion in AUMs and is an independent/employee-owned, value-oriented investment advisor with offices in Boston, Massachusetts, Los Angeles and Newport Beach, California. Our clients include public and ERISA funds, corporations, educational institutions, hospitals, religious organizations, Taft-Hartley plans and high net worth individuals. Their Retail Advisory Distribution calls on registered investment advisors and broker dealers nationally, distributing separately managed accounts, unified managed accounts and mutual funds.

The firm is an innovative research boutique. Our success in attracting and growing client assets has been a product of our commitment to industry-leading fundamental research. Our highly experienced investment team shares a common philosophy, and the firm's principals have implemented the same disciplined investment process across various equity asset classes for decades.

The firm intends to grow the Advisory Business into an emerging leader in the SMA, UMA and Fund space in the next several years.

If you are interested in becoming a part of KTP's client's distribution build-out at this exciting time of growth, they are adding several Regional Associates and pursuing the following profile:

EXPECTATIONS OF THE SENIOR REGIONAL ASSOCIATE

Based in Newport Beach, CA, the Senior Regional Associate will grow their own West Coast territory in addition to assisting two Regional Directors in increasing the sale of the firm's products through telephone presentations and in-person meetings. Travel to client sites will be as warranted. Your territory's primarily sales role is establishing new relationships in the Wirehouse channel, specifically Merrill Lynch and Morgan Stanley. These conversations should increase an Advisor's knowledge and awareness of the firm's SMA, UMA and Fund products.

Additionally, the Senior Regional Associate will aid in the training and development of new and existing internal Regional Associates to ready them for the Senior Regional Associate role.

Role requires the ability to position the firm's investment philosophy, consultative process, product differentiation and competitive analyses in group presentations, public seminars, and one-on-one presentations. The need for timely and diligent follow-up with client contacts to close sales is imperative. Equally the position seeks a team-leader who can mentor, teach and guide the internal sales team to success.

It is a must that the employee is able to co-create and execute marketing campaigns to new and existing clients. S/he will be responsible for coordinating and maintaining strong relations with advisors, including: requests for proposals, final presentations, customized sales and marketing material.

The Regional Sales Associate position is a fast paced challenging sales and team-lead role for self-motivated and driven financial sales' professional who seeks career advancement based on successes and proven firm development.

DESIRED SKILL SET:

- Investigating/Prospecting the wirehouse channel to discover customer set
- Supporting external wholesalers sales efforts
- Conducting telephone sales presentations to advisors highlighting the firm's products and value proposition
- Experience selling mutual funds, unified managed account and/or separately managed accounts
- Driving sales and building relationships with advisors through execution of a defined territory plan and sales process
- Effectively profiling advisors to understand their practice, clients and investment process to identify needs and to position firm products and services to meet those needs
- Execution and consistent follow up with advisors to advance the sales process and deepen advisor relationships
- Demonstrated, organized, efficient and effective territory management on a consistent basis
- Exceptional communication, probing skills and an outstanding ability to close sales
- Ability to passionately deliver concise sales messages that resonate with clients
- Travel in territory as needed
- Experience teaching, mentoring, coaching and/or leading internal sales team members

PERSONAL QUALITIES, TRAITS & CHARACTER:

- Natural interest in sales and the financial markets: required
- Exceptional interpersonal skills, verbal communication and outstanding sales presentation skills: required
- Strong organization and time management skills: required
- Articulate, passionate, assertive and charismatic: required
- Ability to collaborate with a team and execute responsibilities independently: required
- Extremely confident and energetic with carrying out daily activities: required
- Dedicated, with a strong work ethic: required
- A high moral fiber and integrity
- A great work ethic characterized by high integrity and behavior: required
- Polished and ambitious professional: required
- Honest and respectful of team: required
- Detail oriented with high degree of accuracy and timely follow through: required
- Leadership, team-lead or management experience: required
- Strong time management and organizational skills: required

JOB EXPERIENCE:

- 7 – 8+ years of relevant financial-services/work experience: strongly preferred
- 3+ years of relevant financial wholesaling/sales experience: strongly preferred
 - o Prior experience as an internal or external sales professional: highly preferred
- Existing relationships within the Wirehouse, Independent RIA channels: highly desired
 - o Specifically Merrill Lynch & Morgan Stanley: highly desired
 - o UBS, RBC, Stifel: strongly preferred
- Working knowledge of SMA, UMA, Funds: strongly preferred
- Solid, consistent and progressive work history: required
- Proactive phone work: required
- Previous formal sales training experience: strongly preferred
- Face-to-face client meetings/presentations: highly desired

EDUCATIONAL BACKGROUND, TRAINING & LICENSING:

- Bachelor's degree and strong academic background: required
- Advanced/Master's degree or professional certificate (CFP, CIMA): desired
- Series 6 or 7: required
- Series 63 or 66: strongly preferred (or must obtain upon hire)
 - o Clean U4/5: required

COMPENSATION:

Offering a strong compensation and benefits package

- Base Salary and Incentive compensation
- Flexible vacation
- Paid Holidays each year
- 401k, medical and dental benefits

MISCELLANEOUS:

- **Please DO NOT apply directly on the company website**
- This is working from the headquartered office in Chicago and traveling from this location as needed
- Qualified applicants should send resume via e-mail to tarin@ktpsearch.com
- Referrals are welcome
- OR -
- Call KTP Executive Search Group, Inc. for additional information

TARIN R. YANKOVICH, CPC

FOUNDER & CEO

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