

Analyst, Mutual Fund and ETF Research

Job Summary

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Under general supervision, the Analyst utilizes knowledge of finance and investment concepts obtained through education and work experience in order to provide clients with a platform of traditional investment opportunities. Primary functions include conducting quantitative and qualitative due diligence, investment analysis (e.g., financial modeling, risk analysis, validating investment merits, etc.), and making recommendations on domestic, international, and global investment strategies. This will encompass authoring product approval memorandums directed at senior management; making presentations to financial advisors and other constituents; maintaining frequent contact with current as well as prospective fund managers; and supporting financial advisors with requests related to mutual funds and Exchange Traded Funds (ETF). The Analyst retains some latitude for un-reviewed decision making and as a participant with respect to fund manager interactions in addition to being a key participant in product recommendations.

Essential Duties and Responsibilities

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- Analyzing the investment merits and risks of traditional investments, including but not limited to domestic, international, global, and sector equity funds, and government, municipal, corporate, and international fixed income funds.
- Preparing product approval memos/presentations for use by the Investment Committee, comprised of senior management.
- Conducting due diligence for existing and prospective investment products.
- Transferring product knowledge and expertise by communicating with and educating other departments within the Global Wealth Solutions Investment Solutions Group, as well as by working directly with financial advisors
- Composing and disseminating due diligence and investment updates for those products on the Highly Recommended List for use by financial advisors.
- Job scope includes performing quantitative and qualitative due diligence as well as investment analysis (e.g., financial modeling, benchmarking, risk analysis, etc.) on funds, preparing detailed product approval memos and recommendations, conducting meetings and conversations with fund

managers to determine the investment merits and risk profile of a fund and/or asset class that currently comprises a large amount of client assets. The job scope also includes making product recommendations and presentations when appropriate.

- Analyst will play a role in decisions relating to the presentation of a fund for inclusion/removal from the Highly Recommended list. As part of the process, the Analyst will conduct quantitative and qualitative assessment of a fund and its corresponding asset class, and determine based on the merits of the research whether or not a fund should be considered for presentation to the Investment Committee.
- Review asset class/industry trends and author topical research reports highlighting potential sources of return and sources of risk.
- Performs other duties and responsibilities as assigned.

Knowledge, Skills, and Abilities

Knowledge of

- Quantitative and qualitative understanding of the investment management business and performance measurement.
- Macro and micro economics and their impact on investment strategies.
- MS Office applications
- Morningstar Direct
- FactSet IRN (Internal Research Notes)

Skill in

- Excellent written and verbal communication skills
- Presentation skills
- Excel
- PowerPoint

Ability to

- Handle multiple priorities
- Self-motivate
- Meet multiple critical deadlines

Educational/Previous Experience Requirements

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- Bachelor's Degree required.
- Any combination of internship and professional experience will be considered.

Licenses/Certifications

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- SIE required provided that an exemption or grandfathering cannot be applied.
- Licenses/Certifications Required from Date of Hire:
 - Series 7 within 6 months of hire
 - CFA preferred, or demonstrated progress towards its completion.

Travel

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Travel Required: Yes, 10 % of the Time