



# How to Hire a Next-Gen Financial Professional

Hiring the right next-generation financial professional is not only about filling a seat — it's about strategically acquiring talent to support your firm's future growth, succession planning, and to enhance the client experience. Here's a strategic approach to help guide the process.





# HIRING A NEXT-GEN FINANCIAL PROFESSIONAL

## 01 | Understand Who You're Looking For

Before you post a job or schedule interviews, clearly define the qualifications and attributes of the professional you are seeking:

### Define The Role

- **Service Financial Professional / Relationship Manager (Avoid using "Junior Financial Professional")** | These professionals help create capacity for senior financial professionals by managing relationships with low-to-mid-tier clients and potentially acquiring new ones.
- **Rainmaker, go-getter** | This is someone who is entrepreneurial, growth-oriented, and wired to build relationships and drive revenue. They may also service existing relationships.

### Ask Yourself:

- What growth path or career track will this role offer?
- Will you provide eventual equity, a buy-in opportunity, or a pathway to lead key client relationships?
- What tools, technology, and team structure do you provide?
- What kind of culture and mentorship will support their success?
- What level of experience are you seeking? Should candidates already have an established client base?

### Look For Traits You Can't Teach

- Natural curiosity
- Strong interpersonal skills
- Client-first mentality
- Coachability
- Team-oriented mindset
- Values alignment with your firm

## 02 | Create a Compelling Job Description

Structure matters. Use the rule of 3s and 5s — organize content into concise, bulleted sections of three to five points. This format aligns with how today's professionals scan and absorb information, making your description more impactful:



### Section 1 | About the Firm

- Who you are as an organization
- The core beliefs and principles that guide your work
- The type of clients you serve and the relationships you prioritize
- Your culture, team dynamics, and vision for growth



### Section 2 | About the Role

Outline the key functions of the role to set clear expectations:

- Managing client relationships
- Coordinating services with experts on your team
- Ensure timely and efficient client engagement
- Identify growth opportunities with current clients and attract new prospects



### Section 3 | About the Ideal Candidate

- A track record of demonstrated success in previous roles
- Key character traits and qualifications your firm values
- Professional capabilities that thrive in your environment



### Section 4 (Optional) | Details

- Working hours
- Compensation philosophy
- Benefits
- Location expectations (in-office, hybrid, remote)

# HIRING A NEXT-GEN FINANCIAL PROFESSIONAL

## 03 | Find the Right Candidates

### To Source This New Teammate, Leverage Your Network. Use Trusted Industry Relationships

- Wholesalers: They have visibility into talent across firms and often know who's quietly looking for new opportunities.
- Top Business-Owner Clients: They understand hiring and know your culture.
- COIs (CPAs, Attorneys): They know the caliber of professionals who might align with your standards and needs.

### Leverage Platforms Like LinkedIn

- A personal hiring announcement—not a formal job post—can reach the right audience through your existing network.
- Get to know potential candidates on the platform via their profiles and posts.

Pay attention in all business and social interactions – Approach every interaction with awareness – consider whether someone may be a potential client or a future team member. Talent and opportunity often reveal themselves in everyday conversations.

### Plan Ahead

Hire before you're desperate. Pressure to fill a position by waiting to search only when you have an opening leads to rushed, sub-optimal decisions. In fact, the BIG behavior change within practices that have an edge in talent acquisition is to view recruiting as an "all the time" activity, while hiring is for "some of the time." In other words, you are always recruiting, just not always hiring.

## 04 | Run a Thoughtful Interview Process

### Use the Power of 3x3 to Ensure a Well-Rounded Evaluation:

3

Interviews

3

Different Interviewers  
from your team

3

Different Settings  
(e.g., office, coffee shop, lunch)

Incorporate Emotional Intelligence questioning into the interview process. Everyone is on their best behavior in an interview and it is easy to do well when the conversation is mainly focused on successes. This approach allows you to not only uncover bad tendencies during times of adversity, but by asking the person to answer in a specific "Situation-Action-Result" framework, you can assess their ability to follow instructions. Sample scenarios could include:

- Navigating a complex or sensitive client relationship
- Working through ambiguity or a lack of clear direction
- Adapting to changing priorities

These questions reveal how the candidate engages in various contexts and with different personalities. Don't move forward if they underperform in any one stage. Not always hiring.

### Bonus: Compensation Philosophy

Having a documented compensation philosophy shows candidates you're intentional, fair, and forward-thinking. It also helps you attract top-tier professionals who are weighing culture and growth against immediate payout.



## Next-Gen Financial Professional (Rainmaker Track)

### About Us

We are a fast-growing, client-focused wealth management firm serving high-net-worth individuals and families. Our culture is collaborative, entrepreneurial, and grounded in doing what's right for clients. We are committed to building a team of professionals who want to grow with us — and we're looking for a next-generation advisor to help lead that growth.

### About the Role

This is a growth-focused advisor role designed for someone who thrives on building relationships, solving problems, and driving business development. You'll have access to firm resources, mentorship from experienced advisors, and the opportunity to grow your own book of business within the support of a high-performing team.

### Key Responsibilities

- Drive business development through networking, referrals, and community presence
- Build and manage a book of clients focused on long-term relationships
- Develop customized financial plans and investment strategies
- Collaborate with senior advisors and internal teams to deliver exceptional service
- Engage in ongoing learning around complex planning topics and investment solutions
- Participate in strategic firm initiatives and marketing efforts
- Contribute to the firm's succession and growth strategy

### Ideal Candidate

- Entrepreneurial mindset with a passion for building something of your own
- Strong interpersonal and communication skills
- Self-starter with a proven ability to generate new business
- Comfortable in client meetings and complex planning conversations
- Team player who thrives in a collaborative environment
- Aligned with fiduciary standards and values-based client work
- (Preferred) 2+ years in financial services, licensed or on track to be licensed

### What We Offer

- Competitive compensation structure with growth-based incentives
- Opportunity to build equity in the business or participate in succession
- Modern tech stack, operational support, and client service infrastructure
- Mentorship and training from experienced advisors
- A values-driven, inclusive, and forward-thinking culture



# SAMPLE JOB DESCRIPTIONS

## Next-Gen Financial Professional (Service Advisor / Relationship Manager Track)

### About Us

We are a boutique, client-centered wealth management firm serving successful individuals and multi-generational families. Our mission is to deliver exceptional advice, personalized planning, and proactive service at every stage of our clients' financial lives. As we grow, we're seeking a next-generation professional to join our team in a relationship management capacity — with opportunities to grow into a lead advisory role over time.

### About the Role

This role is designed for someone who is passionate about client service, building meaningful relationships, and working within a team-based planning environment. As a Service Advisor, you'll be the primary point of contact for a segment of client relationships and act as the bridge between clients and our senior advisory team.

### Key Responsibilities

- Manage and deepen relationships with existing clients, primarily in the low- to mid-tier segment
- Serve as the day-to-day contact for client service needs and planning coordination
- Prepare and participate in client meetings, follow up on action items, and support implementation
- Help deliver financial planning and investment solutions under guidance of lead advisor
- Proactively identify opportunities to add value and enhance the client experience
- Coordinate with internal teams to ensure timely and accurate service delivery
- Maintain CRM and ensure accurate documentation of client interactions

### Ideal Candidate

- Passionate about helping people and delivering a high-touch client experience
- Detail-oriented, organized, and proactive in managing workflows and tasks
- Strong communicator and listener with excellent interpersonal skills
- A team player who collaborates well in a client-centric environment
- Willing to learn and grow within the firm, with potential for career advancement
- (Preferred) 1–3 years of experience in financial services or client service
- (Preferred) Progress toward CFP® certification or other planning credentials

### What We Offer

- Competitive salary with performance-based incentives
- Defined career path with mentorship and growth potential
- A team-oriented, supportive culture focused on client success
- Training, tools, and systems to help you thrive in your role
- Exposure to multi-generational wealth planning and complex strategies





 First Trust

The information provided is for illustrative purposes only and is not intended to be a recommendation or endorsement of any specific strategy, acceptable risk tolerance, return profile, action, or product. The concepts discussed may not be applicable in all situations and should not be considered a substitute for individualized advice. Financial professionals should continue to follow their firm's established compliance procedures and consult with their compliance department for guidance on relevant regulatory restrictions and before implementing any new approaches.

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