D|A|DAVIDSON

Apprentice Financial Advisor Program

Founded in 1935, D.A. Davidson has been offering personalized wealth management services and solutions rooted in the values, stability, and discipline of our employee-owned company for more than 85 years. The Apprentice Financial Advisor Program is designed to provide a multi-year and multi-faceted training program for individuals looking to join our best-in-class team of Financial Advisors.

The Apprentice Financial Advisor Program is a paid three-year developmental and informative program that prepares our next generation of outstanding Financial Professionals. Training is immersive and hands-on, combining collaborative learning with practical real-life experience, utilizing the tools and technology vital to build an exciting career as a Financial Advisor. Our apprentices receive ongoing coaching and mentorship and have many opportunities to engage and learn from established Financial Advisors at the firm. They also earn the FINRA SIE, Series 7, Series 66, and Insurance Licenses.

Upon completion of the program, Apprentices are positioned for success and well-prepared to start their own practice as a Financial Advisor or join an established financial practice (team or individual) as a producing team member, adding value to the practice by offering straightforward advice, personalized solutions, and investment guidance to new and existing clients.

This is an outstanding opportunity if you are:

- Desiring a career path that eventually leads to the prospect of uncapped compensation
- Seeking comprehensive Financial Advisor training
- Eager to leverage your passion for helping others with your curiosity in the financial services industry
- Team-oriented with excellent communication and interpersonal skills
- Open to relocation opportunities
- A college graduate within the last three years with either a bachelor's or master's degree OR a business professional with 1-3 years of financial services or transferable experience

Program Overview

Years 1 and 2 – D.A. Davidson Corporate Office (Seattle, WA)

As an Apprentice Financial Advisor, you will spend the first two years learning the core competencies of wealth management, with a focus on financial planning techniques, client service skills, and technology. You will be provided materials and everything you need to study, sit for, and pass the FINRA SIE, Series 7 and 66 licensing exams, as well as the Washington State insurance exam. Upon completion of the required licensing exams, you may begin studying for an additional professional credential. You will have the choice between the CERTIFIED FINANCIAL PLANNER™ and the Certified Wealth Strategist® credentials.

Year 1 – Seattle

Learn wealth planning techniques and strategies, delve into the complexities of financial and estate planning, and become a specialist on the firm's financial planning software, MoneyGuidePro®. You will serve as a subject matter expert to Financial Advisors throughout the firm as a vital member of the Planning Resource Center, and more broadly, the Wealth Planning Department. During this time, you will also have the opportunity to work with Sr. Planners and contribute to in-person training sessions at various branches throughout the system. You will be responsible for creating Davidson-branded collateral on complex financial planning topics, as well as participate in discovery and plan creation alongside the Wealth Planning Group and Davidson Private Wealth.

Year 2 – Seattle

Serve as a key and valuable member of the Financial Services Representative (FSR) Team, honing your skills by directly advising and guiding clients through investment strategies and proposals, and identifying opportunities to help clients achieve their financial goals.

- During this year you will visit and observe multiple branch locations. This will provide the opportunity to learn and experience the Wealth Management business through different perspectives, and to continue to familiarize yourself and interconnect with our firm's top producers.

- Participate in intensive training programs in Great Falls, MT, and Seattle with other Trainee Financial Advisors and Apprentices to learn the skills and techniques required for meaningful client interaction, portfolio construction, investment implementation, and practice management.

Throughout your time as a member of our Apprentice team, you will engage with Senior Financial Advisors around the firm to learn about the various aspects and nuances of managing a practice as a Financial Advisor. In your second year, you also will begin discussions with leaders in the firm to determine where you might start a practice on your own or fit into a growing practice.

Year 3 – D.A. Davidson Branch Office Experience (various locations)

The third year of the Apprentice Program is very hands-on and provides practical opportunities to complement your experience in Seattle. During year 3 you will move to an existing D.A. Davidson branch. The chosen branch location is based on many factors including your preference, opportunities and management discretion. The year in the branch will provide the opportunity to learn and experience the Wealth Management business through an on-site branch experience serving in a variety of roles and responsibilities.

Program Completion

At the end of the Program you will have the opportunity to begin your career as a financial advisor or look to continue your career with us in another rewarding capacity that suits your skills and desires.

Completion of the Apprentice Program does not guarantee a permanent role at D.A. Davidson.

The Apprentice interview process is as follows:

Early Fall – Applications accepted

November – First and second round interviews

December – Final Panel Interview **in Seattle, WA**

Final Decisions and Offers by Year End

The Following July – **Apprentice Program begins in Seattle**

For more information, contact Natalie Fitzgerald, New Advisor Training and Acquisition, at (206) 389-4025 or nfitzgerald@dadco.com.