



FULLER & THALER
ASSET MANAGEMENT, INC.

External Sales Associate San Mateo, CA

Founded in 1993 and with inspiration from two Nobel Prize winning economists, Dr. Daniel Kahneman and Dr. Richard Thaler, Fuller & Thaler Asset Management is a boutique asset manager that applies behavioral finance to identify investment opportunities in US equities. Fuller & Thaler is looking to make a strategic sales hire for its growing team. This is an excellent opportunity to gain hands-on experience with a highly respected firm that specializes in a unique and effective behavioral approach to investing. The External Sales Associate will be actively involved in all aspects of the firm's Sales, Sales Strategy, Sales Support, Relationship Management and Marketing efforts to financial intermediaries, RIA's, Banks and Broker Dealers. This unique position offers a full cycle sales responsibility (B2B) and will closely resemble an apprenticeship where the candidate will have the opportunity to actively learn and engage with senior leaders and learn the fundamentals of the Firm's Sales and Marketing strategies. The position offers the opportunity to develop specialty skills in sales and an expertise in behavioral finance.

The candidate should have a very strong work ethic, be entrepreneurial and self-driven, passionate about sales, be willing to travel one out of every two to three weeks and work well in a collaborative environment. This independent role reports directly to the Partner/Behavioral Finance Specialist at our San Mateo, CA headquarters.

Job requirements

- Enthusiasm for frequent cold-calling of prospective clients and regular overnight domestic travel is mandatory.
- Ability to work toward exceeding daily and monthly sales activity quotas is essential.
- Minimum of 1 year of recent sales experience with a demonstrated track record of sales success (experience selling mutual funds, Separately Managed Accounts and/or other investment products with an asset management firm and/or retail distribution organization is a plus but not required)
- Bachelor's degree required. Finance, Economics, or Business major is a plus but not required. CFA, CIMA, CAIA, or CFP certification is a plus, but not required.
- Ability to understand and discuss sophisticated equity investment strategies with prospective clients.
- Excellent interpersonal and presentation skills.
- Ability to work in a boutique firm with minimal supervision.
- High level of personal integrity

Responsibilities

- Make **80+ cold calls per day** to prospective clients (typically financial advisors) to set up new meetings which you will attend
- Hybrid role working both in the office and outside conducting travel to prospects
- Follow up with technical analysis and other due diligence related questions that you receive during meetings and calls
- Persistently work toward exceeding daily and monthly sales activity quotas as they become applicable
- Learn, become proficient in and educate current and prospective clients on Fuller & Thaler's behavioral finance-based investment strategies
- Knowledgeably and promptly answer client questions and address client requests
- Research and identify qualified prospective clients using the firm resources including third party contact databases, and the firm's Salesforce CRM system
- Log all call and meeting notes in Salesforce CRM system
- Maintain, update, and provide research for the firm's Salesforce CRM system

- Contribute to firm marketing and sales strategy: create sales plans for specific client types (Banks, Registered Investment Advisors, Wirehouses, Broker Dealers, etc.), and develop strategies for competitive differentiation.
- Keep abreast of current equity market and economic trends.

Additional

Located in San Mateo, CA, the position will require up to 60% domestic travel. Candidates must reside in the San Francisco Bay Area. No relocation assistance will be offered.

Compensation will be competitive and commensurate with education and experience. The position is full-time and exempt from overtime pay. In addition, we offer one of the most generous and comprehensive benefits packages in our area and industry including health, dental, vision, disability and life insurance, 401(k) and profit sharing.

To apply for this position, please send your cover letter and resume to: salesjobs@fullerthaler.com

A background check will be conducted after a conditional offer of employment.

Fuller & Thaler is a boutique equity investment management firm headquartered in the greater San Francisco Bay area with over \$16 billion in assets across various domestic equity mutual funds and separate accounts. Fuller & Thaler provides specialized investment management services focusing on market anomalies drawn from insights in behavioral finance. Visit our website for more information at <http://www.fullerthaler.com/>.

Fuller & Thaler is an equal opportunity employer. Please refer to our Applicant Privacy Notice which contains important information on how we handle your nonpublic personal information.

Fuller & Thaler Asset Management, Inc.
Applicant Privacy Notice

The privacy and security of your personal data (the “Personal Information”) which we collect from you is very important to us. It is equally important that you understand how we handle this data.

By applying for employment with F&T, you expressly acknowledge that you have read, understand and agree to all of the terms of this Privacy Notice as outlined below and as it may be modified by us from time to time with or without prior notice.

Collection of Information

In the course of conducting our business and complying with federal, state, and local government regulations governing such matters as employment, tax, insurance, etc., we must collect Personal Information from you. The nature of the Personal Information collected varies somewhat for each applicant, depending on the position responsibilities, your citizenship, the location of the facility where you may work, and other factors. We collect Personal Information from you solely for business purposes, including those related directly to your application and prospective employment with F&T, and those required by governmental agencies.

Data collected may include, without limitation, such things as:

- Your name
- Phone number(s)
- Email address(es)
- Mailing address
- Current and past residential addresses
- Information contained in background checks
- Resume with employment history and education information
- Government identification documents and numbers, e.g., Social Security number, driver’s license number
- Date of birth

Anyone who sends unsolicited Personal Information to F&T by any means, e.g., mail, email, or fax, expressly consents to the storage, destruction, processing, or disclosure of the data, as well as any other reasonable business-related use by F&T or any government agency of the unsolicited data.

F&T will not knowingly collect or use Personal Information in any manner not consistent with this Notice, as it may be amended from time to time, and applicable laws.

Because the Personal Information collected by F&T is necessary for business purposes, you are required to provide it. Your refusal or failure to provide the requested Personal Information may, therefore, disqualify you from employment with F&T or from receipt or enjoyment of certain corporate benefits.

Use of the Information We Collect

We will not sell your Personal Information to any third party. The primary purposes for collection, storage and/or use of your Personal Information include, but are not limited to:

- **Human Resources Management.** We collect, store, analyze, and share (internally) Personal Information in order to attract, retain and motivate a highly qualified workforce. This includes recruiting, compensation planning, succession planning, reorganization needs, performance assessment, training, employee benefit administration, compliance with applicable legal requirements, and communication with applicants and/or their representatives.
- **Business Processes and Management.** Personal Information is used to run our business operations including, for example, scheduling work assignments, managing company assets, and populating employee directories. Information may also be used to comply with government regulation.
- **Safety and Security Management.** We use such Personal Information as appropriate to ensure the safety and protection of applicants, assets, and resources.
- **Communication and Identification.** We use your Personal Information to identify you and to communicate with you.

Disclosure of Data

F&T acts to protect your Personal Information and ensure that unauthorized individuals do not have access to your Personal Information by using security measures to protect Personal Information. We will not knowingly disclose or

otherwise distribute your Personal Information to any third party without your knowledge and, where appropriate, your express written permission, except under the following circumstances.

- **Legal requests and investigations.** We may disclose your Personal Information when such disclosure is reasonably necessary (i) to prevent fraud; (ii) to comply with any applicable statute, law, rule or regulation; or (iii) to comply with a court order.
- **Third-party vendors and service providers.** We may, from time to time, outsource services, functions, or operations of our business to third -party service providers. When engaging in such outsourcing, it may be necessary for us to disclose your Personal Information to those service providers, e.g., a payroll service or a benefits provider. In some cases, the service providers may collect Personal Information directly from you on our behalf. We will work with any such providers to restrict how the providers may access, use and disclose your Personal Information.

When using a third party provider to whom we must furnish your Personal Information, we will select reliable third parties and we will require them to enter into written agreements with F&T which will (i) specify the rights and obligations of each party; (ii) provide that the third party has adequate security measures in place to protect the Personal Information; and (iii) the provider will only process Personal Information on the specific written instructions of F&T.

- **Protection of F&T and Others.** We may release Personal Information when we believe release is necessary to comply with the law; enforce or apply our policies and other agreements; or protect the rights, property, or safety of F&T, our employees, or others. This disclosure will never, however, include selling, renting, sharing or otherwise disclosing your Personal Information for commercial purposes in violation of the commitments set forth in this Privacy Policy.

Security of Your Personal Information

We employ reasonable security measures and technologies, such as password protection, encryption, physical locks, etc., to protect the confidentiality of your Personal Information. Only authorized employees have access to Personal Information.

F&T will make reasonable efforts to secure Personal Information stored or transmitted electronically secure from hackers or other persons who are not authorized to access such Information.

Your Rights and Choices

You have the right to request that we disclose certain information to you about the Personal Information collected and used over the past 12 months. Once we receive your verifiable request, we will disclose to you:

- The categories of and specific Personal Information collected about you
- The sources of the Personal Information we collected about you
- The business purpose for collecting your Personal Information
- The categories of third parties with whom we share your Personal Information
- Whether or not any information has been sold or disclosed in the past 12 months and the relevant categories

You may send a request by e-mail, telephone or mail at the following:

Chief Compliance Officer
Fuller & Thaler Asset Management, Inc.
411 Borel Avenue, Suite 300
San Mateo, CA 94402
Toll Free Tel: 866-204-0769
hzanoni@fullerthaler.com
www.fullerthaler.com/contact

Non-Discrimination

F&T will not discriminate against you for exercising any of your rights and choices related to your Personal Information.

Any questions regarding this Privacy Notice may also be directed to the Chief Compliance Officer.