

Career Opportunity Home Office OSJ Manager

United Planners is a national wealth management firm that provides financial planning, investment management, and insurance services. Established in 1987, United Planners is proud of its true independence and its “**Adamantly Not For Sale**” stance because it is 100% owned by its employees and financial professionals. United Planners provides back-office support to independent financial professionals, who then help investors manage their wealth to achieve their goals & objectives. United Planners is uniquely structured as a limited partnership that offers ownership opportunities and profit sharing to its employees and financial professionals. We embrace a culture, passion, and strategy that caters to the fiercely independent financial services community. United Planners is an open-architecture model that offers flexible, efficient, and scalable solutions to position its financial professionals to build and manage successful businesses. United Planners is a Registered Investment Advisor with the Securities & Exchange Commission (SEC) / Registered Broker-Dealer with the Financial Industry Regulatory Authority (FINRA) / SIPC Member.

United Planners is currently seeking a qualified professional to join our Supervision team in Scottsdale Arizona as a **Home Office OSJ Manager**. This qualified professional will be a critical team member, must be a flexible & multi-talented to fulfill a broad range of responsibilities. **This position is primarily designed for relationship management, practice management, training & education, business review, and risk management on the day-to-day supervision of Field OSJ Managers, Home Office Supervised Registered Representatives, and other people that report directly to the Home Office.** Below is a summary that includes, but is not limited to, the duties, responsibilities, and qualifications related to this position.

A. Essential Duties and Responsibilities

- Overall day-to-day supervision of the Field OSJ Managers and Home Office Supervised Registered Representatives assigned to them which includes but is not all inclusive:
 - Client/registration review
 - Transaction review
 - Blotter review
 - Client correspondence review
 - Outside business activity review
 - Training on and enforcement of the Firm’s policies and procedures
- Provide council to registered representatives and internal colleagues regarding supervision issues, United Planners’ policies and procedures, and industry regulations
- Oversees the Firm’s policies and procedures for the monitoring and review of the OSJ Manager’s and Home Office Supervised Registered Representative’s activities
- Maintain accurate records of inquiries and responses
- Report issues that are of concern to the Vice President Supervision

B. Qualifications

- Effective written and oral communication skills
- Analytical skills
- Ability to effectively manage and provide proactive leadership to a team
- Ability to work equally well in a team environment and/or independently
- Punctual and able to successfully meet job critical deadlines and effectively manage ones time
- Understanding of elemental financial equations with the ability to compute figures such as discounts, interest, commissions, proportions, and percentages

- Read, analyze, and interpret general industry periodicals, professional journals, technical procedures, and industry regulations
- Ability to write professional quality reports and business correspondence
- Ability to effectively present information to groups of peers, managers, and registered representatives
- Ability to effectively utilize current Microsoft Windows tools including Word, Excel and Power Point
- Ability to derive practical solutions to problems with a variety of variables in situations where only limited standardization exists
- Ability to initiate self-development including continued understanding and application of new regulations, Firm policy changes, and if applicable, additional licensing and coursework to adapt to changes in industry and job demands

C. Education/Experience

- Bachelor's degree or equivalent experience.
- Minimum of three years industry experience.
- Combination of education and experience.

D. Licenses

- Series 7.
- Series 24.
- Series 51 or 53.
- Series 63 and 65 or 66.

E. United Planners offers competitive salaries and an excellent benefits package that includes:

- 401(k) with company match.
- Company paid short/long-term disability and life insurance.
- Medical including dental and vision.
- Paid vacation, sick time, personal time off and holidays.

For more information, please contact Jimi Smith, Vice President – Supervision Department, at (480)624-0336 or JRSmith@UPFSA.com.