

Job Description

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| Employee Type: | Exempt |
| Department: | Compliance |
| Job Title: | Regulatory Specialist/Analyst |
| Reports To: | Regulatory Manager |
| Manages Others: | No |
| Industry Experience: | 2 years (preferred) |
| Minimum License(s): | N/A |
| Date: | 1/10/2023 |

Nature and Scope

The Regulatory Specialist/Analyst will assist with compliance projects including assist in the creation of and review of exception reporting, annual internal auditing of department policy and procedure adherence, branch office examination findings follow-up, and assist the CCO and Regulatory Manager with complaints and requests from regulatory agencies.

Essential Duties and Responsibilities

- Written and verbal correspondence with peers, registered representatives, financial institutions, state and federal regulatory agencies and clients
- Provide registered representatives assistance regarding complaint procedures, United Planners policies and procedures, and industry regulations.
- Review and interpret regulatory requests and pull documents based upon the request.
- Maintain accurate records of inquiries, internal audits, responses, and resolution completion.
- Interact with management and other supervisory/compliance personnel on issues related to internal audits.
- Maintain customer relations with emphasis on service, quality, and support of business objectives.
- Report issues that are of concern to the Compliance management team.
- Work independently to ensure department deadlines are met and service levels are properly maintained.
- Assisting management in identifying and containing compliance risk and proactively fostering a positive compliance culture and message.
- Minimal Travel may be required.
- Other duties as assigned.

Qualifications

- Two years industry experience (preferred)
- Basic understanding of FINRA and SEC rules and regulations
- Effective written and oral communication skills
- Analytical skills, sound judgment, decision making and collaboration
- Ability to work equally well in a team environment and/or independently.
- Punctual and able to successfully meet job critical deadlines and effectively manage one's time.
- Ability to use deductive reasoning to determine and/or assess situations and come up with solutions that are within Industry/Firm standards and work for both the Firm and the Representative.
- Read, analyze, and interpret general industry periodicals, professional journals, technical procedures, and industry regulations.
- Ability to write business correspondence at a college level.
- 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 understand and apply new regulations, Firm policy changes, and if applicable, additional licensing and coursework to adapt to changes in industry and job demands.

Partnership Integrity

- Understands and abides by all Firm and departmental policies and procedures as well as the Firm's code of ethics.
- Participates actively in ensuring all state and industry rules and regulations are followed as they apply to this position.
- Attend any required regulatory and/or firm educational meetings.
- Considers financial impact to Firm through effective use of time, careful planning and efficiency in conducting Branch Office exams.
- Seeks to build an overall culture of compliance amongst colleagues and representatives through constant example and intentional communication.