

Job Description

Employee Type:	Exempt
Department:	Compliance
Job Title:	Advertising Specialist
Reports To:	Advertising Manager
Manages Others:	No
Industry Experience:	At least 2 years
Minimum License(s):	7, 24, 63 (required), 65 or 66 (preferred)
Date:	1/10/2023

Nature and Scope

The Advertising Specialist will coordinate, log and review retail communications to ensure compliance with applicable SEC and FINRA rules and internal policies. This position will assist with compliance projects including providing guidance and reviews to transitioning advisors, reviewing professional designations, conducting due diligence on proposed third party marketing vendors, managing the pre-approved advertising library for the firm, reviewing new product sales literature, and monitor, report and document unapproved advertising.

Essential Duties and Responsibilities

- Written and verbal correspondence with peers, registered representatives, financial institutions, and clients
- Provide registered representatives assistance regarding retail communication issues, United Planners policies and procedures, and industry regulations
- Review retail communication, conduct research, and performs special projects as assigned
- Apply SEC and FINRA retail communication regulations as applicable
- Serve as a subject matter expert to financial professionals on matters pertaining to retail communication compliance. Assist internal business partners to understand and comply with advertising laws, rules and regulations.
- Maintain accurate records of inquiries and responses
- Interact with management and other supervisory/compliance personnel on escalated issues to ensure retail communication is compliant with advertising requirements.
- Log and coordinate the submission and reviews of retail communication to ensure industry books and records requirements are met
- Maintain customer relations with emphasis on service, quality and support of business objectives
- Report issues that are of concern to the Compliance management
- Work independently to ensure department deadlines are met and service levels are maintained
- Assisting management in identifying and containing compliance risk and proactively fostering a positive compliance culture
- Minimal Travel may be required
- Other duties as assigned

Qualifications

- FINRA Series 7, 24 and 63 required
- Minimum of two years industry experience
- Basic understanding of FINRA and SEC rules regarding communications with the public in order to effectively review items concerning securities and investment advisory services
- 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