

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

1. 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:
 - a. Client/registration review
 - b. Transaction review
 - c. Blotter review
 - d. Client correspondence review
 - e. Outside business activity review
 - f. Training on and enforcement of the Firm's policies and procedures
2. Provide council to registered representatives and internal colleagues regarding supervision issues, United Planners' policies and procedures, and industry regulations.
3. 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.
4. Maintain accurate records of inquiries and responses.
5. Report issues that are of concern to the Vice President Supervision.

B. Qualifications

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

7. Read, analyze, and interpret general industry periodicals, professional journals, technical procedures, and industry regulations.
8. Ability to write professional quality reports and business correspondence.
9. Ability to effectively present information to groups of peers, managers, and registered representatives.
10. Ability to effectively utilize current Microsoft Windows tools including Word, Excel and Power Point.
11. Ability to derive practical solutions to problems with a variety of variables in situations where only limited standardization exists.
12. 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

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

D. Licenses

1. Series 7.
2. Series 24.
3. Series 51 or 53.
4. Series 63 and 65 or 66.

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

1. 401(k) with company match.
2. Profit sharing.
3. Company paid short/long-term disability and life insurance.
4. Medical including dental and vision.
5. 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.