

POSITION DESCRIPTION INVESTMENT ADVISORY SPECIALIST

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 stance of being “**Adamantly Not For Sale**” 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 a variety of 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 profitable businesses. United Planners is Registered Broker-Dealer with the Financial Industry Regulatory Authority (FINRA) / Registered Investment Advisor with the Securities & Exchange Commission (SEC) / Member of the Securities Investor Protection Corporation (SIPC).

United Planners is currently seeking a qualified professional to join our Advisor Services Department in Scottsdale Arizona as an **Investment Advisory Specialist** in Investment Advisory Services. This qualified professional will be a critical team member and must be a flexible and multi-talented to fulfill a broad range of responsibilities. This position is primarily designed to focus on the following areas: data management, operations, marketing, business metric reporting & analysis. This position will work with internal and external relationships. Below is a summary that includes, but is not limited to the following details that relate to this position.

A. Core Duties & Responsibilities

1. Administer due diligence meeting tracking and reporting.
2. Assist advisors with general servicing and operational issues.
3. Facilitate & conduct due diligence support & reviews on investment advisory service providers.
4. Facilitate & manage a wide range of business metric reporting & analysis at the Advisor Services Department level.
5. Facilitate marketing initiatives to promote products & services of investment advisory service providers.
6. Facilitate operational aspects such as the set-up and maintenance for advisors on various investment advisory platforms (i.e., RIA custodians and money managers).
7. Capable of multi-tasking daily responsibilities as well as assigned projects at the Advisor Services Department level.
8. Communicate & coordinate with home office staff in regards to investment advisory issues, projects & initiatives.
9. Communicate & coordinate with various issues, project and initiatives with vendor relationships.
10. Educate & train advisors, administrative staff and home office personnel on investment advisory service providers.
11. Educate & train on various investment advisory platforms, such as investment advisory custodians and money manager platforms.
12. Establish & maintain advisors on various investment advisory platforms (for example: setting up rep codes).
13. Manage various types of data for assets-under-management reporting.
14. Play an integral role in the daily management of providing insights to create solutions to support advisors, administrative staff, business partners, and home office personnel.
15. Provide departmental infrastructure support (e.g., filing, reporting, system maintenance, etc.).
16. Review documents, conduct research & perform special projects as assigned at the Advisor Services Department level.
17. Serve as an internal subject matter expert on various investment advisory service providers.

B. Qualifications

1. Ability to conduct due diligence.
2. Ability to derive practical solutions to problems with a variety of variables in situations where only limited standardization exists.
3. Ability to effectively present information to groups of peers, managers & registered representatives.
4. Ability to effectively write reports and correspondence at a business level.
5. Ability to effectively utilize current Microsoft Office tools including Word, Excel & PowerPoint.
6. Ability to initiate self-development including continued understanding & application of new regulations, policy changes, and if applicable, additional licensing and coursework to adapt to changes in industry & job demands.
7. Ability to successfully meet critical deadlines & effective time-management.
8. Ability to work equally well in a team environment and/or independently.
9. Creative & analytical skills.
10. Professional written & oral communications skills.
11. Read, analyze, & interpret industry periodicals, professional journals, technical procedures & industry regulations.
12. Understanding of common financial equations with the ability to compute figures such as discounts, interest, commissions, proportions & percentages.

C. Education & Experience

1. Minimum of two years industry experience.
2. Bachelor's degree is desired, but not required.
3. A combination of education and experience is helpful.

D. Licenses

1. Series 7, preferred, but not required, and willing to obtain for professional development.
2. Series 63, 65, or 66, preferred, but not required, and willing to obtain for professional development.

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

1. 401(k) with company match.
2. Company paid short/long-term disability and life insurance.
3. Medical including dental and vision.
4. Paid vacation, sick time, personal time off and holidays.

F. Physical

1. Extensive computer-work that requires long periods of time at a workstation (i.e., being seated & stationary; focusing on a screen; typing; email correspondence; training sessions such as webcasts and demos).
2. Customary mobility around the office (i.e., traveling up & down stairs; walking; moving occasional office items, boxes, chairs, desks and other office equipment as well as attending meetings).
3. Extensive phone-work since most of our client servicing is geographically across the country.

For more information, please contact Human Resources at rmedina@upfsa.com or 480-378-2703.