

---

## POSITION DESCRIPTION REGIONAL COMPLIANCE SPECIALIST

<b>Job Description</b> Employee Type:	Exempt
Department:	Compliance
Job Title:	Regional Compliance Specialist
Reports To:	Chief Compliance Officer
Manages Others:	No
Industry Experience:	At least 2 years
Minimum License(s):	7, 63 (minimum) 65 or 66 (preferred)
Date:	4/12/2022

### Nature and Scope

The Regional Compliance Specialist will actively monitor and review registered representatives' business practices including, but not limited to, trade activity, communications with the public and outside business activities. This position requires the Regional Compliance Specialist to be knowledgeable of industry regulations and Firm policies and be able to convey these regulations in a professional and articulate manner to the Firm's internal employees, supervisors and registered representatives. This position requires moderate to frequent travel in order to conduct on-site examinations of Firm's Branch Offices. The Regional Compliance Specialist is expected to be acutely aware of regulations and Firm policies affecting the business of the Firm's registered representatives and adequately utilize industry periodicals, and resources from regulatory agencies to keep abreast of current and changing regulatory conditions. Additionally, the Regional Compliance Specialist may be assigned various ad hoc projects to support the Compliance Department and/or other departments as needed.

### Essential Duties and Responsibilities

- Written and verbal correspondence with peers, registered representatives, financial institutions, and clients
- Provide registered representatives assistance regarding compliance issues, United Planners policies and procedures, and industry regulations
- Reviews documents and information, conducts research, and performs special projects as assigned
- Monitors and reviews registered representatives' Outside Business Activities
- Review of registered representatives' communication with the public for adherence with FINRA, SEC, state and Firm policies
- Conducts surveillance of registered representatives' sales activities including advisory business
- Maintains accurate records of inquiries and responses
- Schedule, prepare, & conduct on-site Branch Office examinations
- Review and monitor exam responses with Senior Regional Compliance Specialist
- Corresponds with field and supervisory structure regarding sales issues
- Report issues that are of concern to the Compliance management
- Prepare and conduct compliance presentations
- Assisting management in identifying and containing compliance risk and proactively fostering a positive compliance culture
- Other duties as assigned

### Qualifications

- Minimum of two years industry experience
- 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 ones 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.
  - 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 reports and 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

**For more information, please contact Human Resources at [rjohnston@upfsa.com](mailto:rjohnston@upfsa.com) or 480-378-2703.**