

Career Opportunity Supervision Assistant

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 **Supervision Assistant**. The Supervision Assistant will be a critical team member, must be a detail-oriented and versatile to fulfill a broad range of responsibilities. This position is primarily designed to help support the **Vice President of Supervision** and the **Manager of Supervision** with running and maintaining various reports that will help identify when client records might be out of alignment in certain risk factors, in sending out notices to field OSJs and other representative that report directly to the Supervision team when they have aged pending action items, in processing notices that need to be sent to direct sponsor companies with representative/client updates, to help support the AFO/Imaging Team during high volume times, help in creating and maintaining written internal policies and procedures and a verity of other duties as needed.

A. Essential Duties and Responsibilities

1. Support Vice President of Supervision and Manager of Supervision with ongoing projects and initiatives.
2. Run, review and maintain reports to identify risk factors and alignment issues. .
3. Run, review and maintain a variety of Supervision related statistical and production reports.
4. Collaborate with the VP and Manager to create, maintain, and keep current internal policies and procedures.
5. Send notices to OSJs and Representatives that report directly to the Supervision team on pending action items.
6. Send notices to direct sponsor companies when either client accounts, representatives, and/or branch information needs to be updated.
7. Run, review and maintain various Supervision statistical/production reports.
8. Support the AFO/Imaging team during high volume times.
9. Maintain accurate records of inquiries and responses.
10. Escalate concerns or issues requiring attention to the Vice President Supervision.

B. Qualifications

1. Effective written and oral communication skills.
2. Analytical skills.
3. Ability to work equally well in a team environment and/or independently.
4. Punctual and able to successfully meet job critical deadlines and have effective time management.

SUPERVISION DEPARTMENT

5. Understanding of elemental financial equations with the ability to compute figures such as discounts, interest, commissions, proportions, and percentages.
6. Read, analyze, and interpret general industry periodicals, professional journals, technical procedures, and industry regulations.
7. Ability to write professional quality reports and business correspondence.
8. Ability to effectively present information to groups of peers, managers, and registered representatives.
9. Ability to effectively utilize current Microsoft Windows tools including Word, Excel and Power Point.
10. Ability to derive practical solutions to problems with a variety of variables in situations where only limited standardization exists.
11. 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. College Graduate or equivalent experience.
2. Minimum of three years industry experience.
3. Combination of education and experience.

D. 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.