

Advertising Analyst

Job Description

Employee Type:	Exempt
Department:	Compliance
Job Title:	Advertising Analyst
Reports To:	Advertising Manager
Manages Others:	No
Industry Experience:	At least 2 years
Minimum License(s):	7 24 and 63 (required), 65 or 66 (preferred)
Date:	7/21/2023

Nature and Scope

The Advertising Analyst will coordinate, log and review retail communications/advertising 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, and monitor, report and document unapproved communications with the public.

Essential Duties and Responsibilities

- Log and coordinate the submission of communications with the public created by financial professionals, as well as approved product vendors to ensure industry books and records requirements are met
- Review retail communications/advertising to ensure compliance with regulatory requirements and internal policies
- Communicate effectively with peers, management, financial professionals and product vendors
- Provide financial professionals with assistance regarding retail communication/advertising issues, United Planners policies and procedures, and industry regulations
- Conduct research, and perform special projects as assigned
- Understand and apply SEC and FINRA communication regulations as required
- Serve as a subject matter expert to financial professionals on matters pertaining to compliant communications with the public.
- Assist internal business partners in understanding and complying with advertising laws, rules and regulations.
- Maintain accurate records of email inquiries and responses
- Document important information from verbal conversations with financial professionals, peers and management
- Interact with management and other supervisory/compliance personnel on escalated issues to ensure retail communications and advertising are compliant with all requirements.
- Report issues that are of concern to appropriate 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, preferably in compliance or supervision

- At minimum, a basic understanding of FINRA and SEC rules regarding communications with the public, to effectively review items concerning securities and investment advisory services
- Effective written and oral communication skills
- Analytical skills, perceptiveness, sound judgment, decision making ability and a collaborative nature
- Ability to function equally well in a team environment and independently as appropriate
- Punctuality, and ability to effectively manage one's time to successfully meet critical deadlines
- Ability to use reasoning to assess situations, and apply industry regulations and firm policy in a way that works for both the Firm and the Financial representative.
- Ability to derive practical solutions in novel situations and/or where limited standardization exists
- Ability to 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 tools including Teams, Word, Excel and Power Point, as well as Adobe Acrobat, required
- Ability to effectively utilize approved vendor systems such as AdvisorStream, FMG, Snappy Kraken and Broadridge preferred
- Ability to initiate self-development including continued understanding and application 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.
- Attends any required regulatory and/or firm educational meetings.
- Considers financial impact to Firm through effective use of time, careful planning and efficiency.
- Seeks to build an overall culture of compliance amongst colleagues and representatives through constant example and intentional communication.