

Job Description – Registration & Licensing Manager

Employee Type:	Exempt
Department:	Compliance
Job Title:	Registration & Licensing Manager
Reports To:	CCO
Manages Others:	Yes
Industry Experience:	At least 5 years
Minimum License(s):	
Date:	04.2026

Nature and Scope

The Registration & Licensing Manager supports United Planners' financial professionals throughout all phases of their affiliation with the firm by providing guidance on FINRA, state, and investment advisory registrations, as well as insurance licensing and appointment processes. This role delivers high-touch customer service and training, partners cross-functionally to resolve registration and licensing issues, ensures adherence to applicable regulatory requirements, and contributes to departmental process improvement while serving as a positive representative of the firm and mentoring peers.

Essential Duties and Responsibilities

- Provide onboarding registration training and ongoing education/support to financial professionals and internal partners regarding registration, licensing, and appointment requirements, timelines, and documentation.
- Consult on and support end-to-end registration activities, including onboarding, transfers, amendments, jurisdiction maintenance, and terminations, including U4/U5-related workflows (as applicable).
- Consult on investment advisory registration requirements and ongoing maintenance (as applicable).
- Support insurance licensing and carrier appointment processes, renewals, CE tracking, and deficiency remediation (as applicable).
- Deliver high-quality customer service by responding to inquiries, resolving issues, and communicating clear status updates and action plans.
- Collaborate with internal departments (e.g., Compliance, Supervision, Operations, Partner Development, Transitions, HR) and external entities (e.g., FINRA, state securities regulators, state insurance departments, carriers, vendors) to resolve deficiencies and prevent onboarding/registration delays.
- Proactively identify trends, risks, and process gaps; lead or participate in continuous improvement initiatives to enhance efficiency, quality, and service experience.
- Maintain and improve procedures, controls, and documentation standards; support audit readiness and appropriate record retention.
- Track and report operational metrics (e.g., cycle times, backlogs, aging/deficiency trends) and recommend solutions.
- Coach and mentor associates by providing guidance on projects and initiatives; serve as a positive role model and professional representative of the department and company.
- Participate in cross-divisional committees and task forces as needed.
- Maintain current working knowledge of applicable industry regulations, firm policies, and best practices related to registrations, licensing, and appointments.

Qualifications

- Bachelor's degree preferred, or equivalent combination of education and relevant experience.
- 3–7+ years of experience in broker-dealer and/or RIA registration and licensing operations; experience mentoring others or leading workstreams preferred.
- Strong knowledge of FINRA and state registration requirements and workflows; familiarity with CRD/IARD and related filings strongly preferred.
- Experience with insurance licensing/appointments and CE tracking preferred.
- Excellent written and verbal communication skills, including ability to train and present information effectively.
- Strong customer service orientation and relationship-building skills.
- Strong attention to detail, judgment, confidentiality, and ability to meet critical deadlines in a fast-paced environment.
- Proficiency with Microsoft Office (especially Excel); ability to learn firm systems and workflows quickly.

Partnership Integrity

- Upholds all Firm and departmental policies, internal controls, and the Firm's Code of Ethics.
- Actively participates in maintaining a culture of compliance, setting an example through behavior, communication, and decision-making.
- Ensures all applicable state, federal, and industry regulations are followed as they apply to this position.
- Attends required regulatory and/or firm educational meetings and training sessions.
- Supports efforts to cultivate an environment where colleagues and representatives understand and value compliance and operational excellence.