

POSITION DESCRIPTION

ASSISTANT VICE-PRESIDENT - INVESTMENT ADVISORY SERVICES

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 and operated 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 Advisor Services Department in Scottsdale Arizona as an **Assistant Vice-President-Investment Advisory Services**. The ideal candidate will be a critical team member and must be flexible and multi-talented to fulfill a broad range of responsibilities. This position is primarily designed to focus on the following areas: general business unit management of the investment advisory business – inclusive of managing a team of direct reports; relationship management with our investment advisory business partners; provide advice, insights, and guidance to our financial professionals; business development; program management; due diligence; and business metric reporting. This area primarily deals with: our investment advisory custodians and money managers, but also deals with financial planning scenarios, portfolio management or investment management details, fee billing and reporting aspects, as well as the supportive technologies for various workflows and integrations, etc. This position will work with various internal and external relationships. This position reports to the Executive Vice-President - Chief Marketing Officer of the firm, who manages the Advisor Services Department, which is responsible for the various financial products, services, and platforms of the firm that are utilized by our financial professionals. Below is a summary that includes, but is not limited to the following details that relate to this position:

A. Core Duties & Responsibilities

1. Manage the daily operations of the investment advisory business unit.
2. Manage a team of direct reports.
3. Relationship management as well as platform/program management with investment advisory business partners.
4. Provide advice, insights, and guidance to our financial professionals.
5. Manage the firm's portfolio management system for advisory fee billing and reporting.
6. Manage various types of data and date-feeds for assets-under-management reporting.
7. Communicate & coordinate with business partners, home office staff, and financial professionals in regards to various issues, projects, and initiatives.
8. Provide departmental infrastructure support (e.g., policies/procedures, books/records, filing, reporting, system maintenance, etc.).
9. Create and deliver presentations to small and large audiences in various workshops and conference settings.
10. Facilitate & conduct due diligence support & reviews on investment advisory service providers.
11. Facilitate marketing Initiatives to promote products & services for business development.
12. Facilitate & manage a wide range of business metric reporting & analysis.
13. Capable of multi-tasking daily responsibilities as well as assigned projects.
14. Assist with any sort of regulatory issues and/or initiatives.

15. Review documents, conduct research & perform special projects as assigned.

B. Qualifications

1. Must be proactively engaged and vocal with a strong sense of time and space.
2. Ability to manage a team of direct reports.
3. Ability to manage a variety of internal and external relationships.
4. Timely and effective communication skills.
5. Professional written & oral communications skills.
6. Maintain creative & analytical skills.
7. Ability to work equally well in a team environment and/or independently.
8. Ability to successfully meet critical deadlines & effective time-management.
9. Understanding of common financial equations with the ability to compute figures such as discounts, interest, advisory fees, commissions, proportions, and percentages.
10. Read, analyze, & interpret industry periodicals, professional journals, technical procedures & industry regulations.
11. Ability to effectively write reports and correspondence at a business level.
12. Ability to effectively present information to groups of peers, managers & registered representatives.
13. Ability to effectively utilize current Microsoft Office tools including Word, Excel & PowerPoint.
14. Ability to derive practical solutions to problems with a variety of variables in situations where only limited standardization exists.
15. 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.

C. Education & Experience

1. Minimum of ten years industry experience.
2. Management experience required.
3. Bachelor's degree is desired, but not required.
4. A combination of education and experience is helpful and will be considered.

D. Licenses

1. Series 7 and 24 (preferred, but not required at start, and must eventually be obtained).
2. Series 63, 65 or 66 (preferred, but not required at start, and must eventually be obtained).

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

1. 401(k) with company match.
2. Participation in profit sharing program.
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.

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.
4. Willingness to travel to various industry events (i.e., conferences, forums, due diligence, etc.).

For more information, please contact Billy Oliverio, EVP-CMO at 480-624-0355 or BOliverio@UPFSA.com.