



Title: Compliance Analyst

Department: Wealth Compliance

Reports to: Chief Compliance Officer

Status: Full-time, Exempt

Location: Overland Park, Kansas (onsite)

Position Summary

The **Compliance Analyst** will assist the Chief Compliance Officer (CCO) in keeping our registered investment advisory firm compliant with federal securities laws through establishing and enforcing controls, best practices, and ethical standards. This position will assist in implementing and coordinating the compliance functions throughout CreativeOne Wealth. The **Compliance Analyst** will use knowledge and skills obtained through education, specialized training and/or certification to assist the CCO in supervising a comprehensive compliance and oversight program designed to ensure compliance with all applicable regulatory requirements.

Duties and Responsibilities include, but not limited to:

- Supervision of IARs' (Investor Adviser Representative) electronic communications, personal trading, investment recommendations, and other business activities.
- Escalate and address potential policy violations with IARs as identified through supervision activities.
- Lead planning, preparation, and execution of IAR branch exams.
- Enhance and maintain the organizational and record-keeping processes that enable timely and accurate responses to regulatory inquiries and examinations as they arise.
- Assist in the collection and analysis of data for regulatory reporting, disclosures, and inquiries.
- Perform annual and quarterly testing and reviews in support of annual 206(4)-7 requirements.
- Research and analyze relevant regulation, information, and resources to ensure firm policies and procedures as well as all applicable laws and regulations are followed.
- Review and recommend updates to the firm's compliance policies and procedures, including the Code of Ethics, Compliance Manual, as well as providing mentoring and training for licensed professionals.
- Serves as an internal liaison to address ad hoc compliance operational questions and issues.

Critical Skills Sought

- Strong work ethic and hands-on approach.
- Positive attitude.
- Adaptability to a frequently evolving work environment.
- Customer and business-centric and collaborative mindset.
- Proven ability to communicate effectively at all levels of an organization.
- Strong organizational skills and confirmed ability to set and meet deadlines in a high paced environment.
- Advanced analytical skills, including demonstrated experience identifying and quantifying problems and providing effective solutions.
- Excellent project-management skills, with creative techniques to coordinate across departments and functions.
- Well-versed in the art of drafting procedures and evaluating internal controls.

Our Core Values

- Provide Unreasonably Excellent Service

- Love What We Do
- Act with Integrity
- Collaborate Courageously
- Evolve with Purpose

Preferred Background/Experience

- Bachelor of Arts/ Bachelor of Science or equivalent experience.
- Financial Industry Regulatory Authority (FINRA) licenses 65 or 7.
- Minimum of 5 – 7 years of professional experience as a compliance professional at a broker-dealer, investment advisory firm, or state or federal securities office.
- Deep knowledge of Securities and Exchange Commission (SEC) regulations and the Investment Advisers Act of 1940; working knowledge of the Investment Company Act of 1940 a plus.
- Familiarity with set up and administration of email surveillance tools, such as Smarsh, as well as cybersecurity and malware tools like Proofpoint.

This description covers the major purpose and major functions of the job. It is not intended to give all details or a step-by-step account of the way each task is to be performed. Employees may receive other job-related instructions and be required to perform other job-related duties requested by their supervisor. All requirements are subject to possible modification to provide reasonable accommodation to qualified individuals with disabilities.

CreativeOne provides equal employment opportunities to all employees and applicants for employment and prohibits discrimination and harassment of any type without regard to race, color, religion, age, sex, national origin, disability status, genetics, protected veteran status, sexual orientation, gender identity or expression, or any other characteristic protected by federal, state or local laws.