



**Title:** Compliance Specialist

**Department:** Wealth Compliance

**Reports to:** Chief Compliance Officer

**Status:** Full-time, Non-exempt

**Location:** Overland Park, Kansas (onsite)

### Position Summary

The **Compliance Specialist** 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 Specialist** 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:

- Coordinates the onboarding of new investment adviser representatives (“IARs”), which includes performing background checks of new IARs and drafting of Form U-4s, ADV 2Bs.
- Actively monitor and review IAR requests, such as Outside Business Activities and Gifts & Entertainment, submitted via compliance management tool.
- Implement updates to IARs Form U4 and ADV 2Bs as needed.
- Oversee offboarding of IARs by drafting Form U5s and disabling IAR access to compliance systems.
- Enhance and maintain the organizational and record-keeping processes of IAR files and other compliance related folders.
- Assist with supervision of IARs’ written communications, personal trading, investment recommendations, and other activities, such as Branch Exams.
- Assist with the development and delivery of ongoing compliance training for IARs.
- Assist in periodically reviewing and testing written compliance policies and procedures.

### 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 ability to set and meet deadlines in a high paced environment.
- Eagerness to learn Securities and Exchange Commission (SEC) regulations and the Investment Advisers Act of 1940.

### 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 2 years of professional experience as a compliance professional at a broker-dealer, investment advisory or similar firm.
- Familiarity with set up and administration of compliance management software tools, such as MyComplianceOffice, and Smarsh, a plus

*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.*