

Job Title: Broker-Dealer Registration and Licensing Manager

Location: CreativeOne Securities and CreativeOne Wealth

Reports To: Chief Compliance Officer

Position Summary:

The Broker-Dealer Registration and Licensing Manager is responsible for managing the registration, licensing, and compliance processes for the broker-dealer firm. This role ensures that all associated persons and entities are properly registered and comply with regulatory requirements set forth by FINRA, the SEC, and state securities regulators. The ideal candidate will have a strong understanding of the securities industry, regulatory requirements, and experience in managing broker-dealer registrations and licensing processes.

Key Responsibilities:

Registration and Licensing Management:

- Oversee the registration and licensing process for all registered representatives, principals, and the broker-dealer firm.
- Prepare and submit initial registration applications, amendments, and renewals through FINRA's Web CRD/IARD systems.
- Maintain accurate and up-to-date records of all registrations and licenses.

Regulatory Compliance:

- Ensure compliance with all FINRA, SEC, and state regulations regarding broker-dealer registration and licensing.
- Monitor changes in regulatory requirements and implement necessary changes to registration and licensing processes.
- Conduct regular audits of registration and licensing records to ensure accuracy and compliance.

Communication and Coordination:

- Serve as the primary point of contact for regulatory agencies regarding registration and licensing matters.
- Coordinate with internal departments, including Compliance, Legal, Human Resources, and Operations, to facilitate the registration and licensing process.
- Provide guidance and support to registered representatives and principals on registration and licensing matters.

Training and Development:

- Develop and deliver training programs for registered representatives and principals on registration and licensing requirements.
- Stay current with industry best practices and regulatory updates, and disseminate relevant information to the team.

Reporting and Documentation:

- Prepare regular reports on registration and licensing status for senior management.



- Maintain comprehensive documentation of all registration and licensing activities, including correspondence with regulatory agencies.

Annual Renewal

- Handle the annual renewal process for Securities and Wealth Management area.
- Work with reps offices to invoice and collect annual fees.
- Work with Accounting department to track and record all fees captured.
- Work with other departments to improve the efficiency and effectiveness of the annual renewal process.

Issue Resolution:

- Investigate and resolve any issues or discrepancies related to registration and licensing.
- Manage the termination and withdrawal processes for registered representatives and principals as needed.

Skills and Competencies:

- Detail-oriented with strong analytical and problem-solving skills.
- Excellent written and verbal communication skills.
- Ability to work independently and as part of a team.
- High level of integrity and professionalism.
- Strong project management skills.

Our Core Values

- *Provide Unreasonably Excellent Service*
- *Love What We Do*
- *Act with Integrity*
- *Collaborate Courageously*
- *Evolve with Purpose*

Qualifications:

- Bachelor's degree in finance, Business Administration, or a related field.
- Minimum of 5 years of experience in broker-dealer registration and licensing, compliance, or a related area.
- In-depth knowledge of FINRA, SEC, and state securities registration and licensing requirements.
- Strong analytical, organizational, and communication skills.
- Ability to manage multiple tasks and deadlines in a fast-paced environment.
- Proficiency with FINRA's Web CRD/IARD systems and other relevant compliance software.
- Series 7 required and Series 24 license preferred; additional FINRA licenses 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.



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