



Position Title: Senior Compliance Analyst
Department: CreativeOne Wealth
Reports To: Chief Compliance Officer
Status: Full Time/Exempt
Location: Onsite – Overland Park, KS

Position Summary

The Senior Compliance Analyst uses knowledge and skills obtained through education and experience to ensure compliance of investment advisory business practices with the Investment Advisers Act of 1940, state laws, and other applicable rules and regulations. Performs other large or multiple initiatives that have significant scope and impact which support the firm's compliance monitoring of fee-based advice. Works independently and with team on difficult assignments that can be broad in nature to provide comprehensive solutions to complex problems along with routine oversight functions.

Duties and Responsibilities include, but not limited to:

- Designs, implements, and executes activities related to portfolio monitoring and oversight.
- Administers the IA Code of Ethics and daily monitoring.
- Interprets data and analyzes investment advisory activities identified via various data systems and reporting. Conducts due diligence related to specific risk factors through the review of client documentation, trade history, account holdings, and/or other factors as necessary. Includes directly contacting FAs and communication with branch management.
- Provides compliance support in the development and enhancement of compliance oversight programs for investment advisory activities, products and various investment advisory areas of coverage including operational businesses.
- Assists with compliance governance reporting for all compliance pillars, including compliance representation, conducting research, due diligence, documentation, escalation, collaboration within and outside compliance groups related, but not limited to, issue management, emerging risks, regulatory changes, supplier, and product risk assessments.
- Reports compliance program status and activities to compliance and business management personnel by preparing both written and oral presentations, including assigned business areas and monitoring reviews.
- Monitors exception and other internal reports for adherence with applicable rules and regulations and escalate identified issues to Senior Management any that involve rule violations or potential liability.



- Researches, interprets, and translates regulatory rules/regulations or company policies for Senior Management and supported business units.
- May contribute to compliance training programs, assist with responses to regulatory agency inquiries and updating policies and procedures.
- Coaches and mentors less experienced Compliance associates.
- Performs other duties and responsibilities as assigned.

Critical Skills Sought

- Concepts, practices, and procedures of securities industry and/or banking compliance reviews.
- Rules and regulations of the Securities Exchange Commission (SEC); Financial Industry Regulatory Authority (FINRA); and state securities regulatory agencies; and/or Federal Deposit Insurance Corporation (FDIC); Office of the Comptroller of the Currency (OCC); Federal Financial Institutions Examination Council (FFIEC); Office of Thrift Supervision (OTS); Federal Reserve System; and state banking regulatory agencies.
- Fundamental investment concepts, practices and procedures used in the securities industry.
- Principles of banking and finance and securities industry operations.
- Financial markets and products.

Our Core Values

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

Preferred Background/Experience

- Overseeing compliance programs.
- Integrating and aligning compliance processes and procedures with business processes.
- Coordinating complex compliance activities.
- Providing support and guidance for compliance efforts.
- Identifying and implementing controls and quality assurance processes.
- Reviewing materials for compliance with rules and regulations.
- Researching compliance issues.



- Developing compliance training programs.
- Gathering information and preparing oral and written reports.
- Preparing and delivering written and oral presentations.
- Investigating compliance irregularities.
- Making rule-based and analytical decisions.
- Operating standard office equipment and using required software applications.

Ability to

- Provide training, coaching, and mentoring for others.
- Partner with other functional areas to accomplish objectives.
- Facilitate meetings, ensuring that all viewpoints, ideas, and problems are addressed.
- Attend to detail while maintaining a big picture orientation.
- Gather information, identify linkages and trends, and apply findings to assignments.
- Interpret and apply securities and/or banking regulations and identify and recommend compliance changes as appropriate.
- Work under pressure on multiple tasks concurrently and meet deadlines in a fast-paced work environment with frequent interruptions and changing priorities.
- Use appropriate interpersonal styles and communicate effectively, both orally and writing, with all organizational levels.
- Work independently as well as collaboratively within a team environment.
- Provide a high level of customer service.
- Establish and maintain effective working relationships at all levels of the organization.
- Maintain confidentiality.
- Maintain currency in securities and/or banking industry rules and regulations and best practices in compliance.

Preferred Requirements:

- BA/BS or equivalent experience
- FINRA licenses 65 or 7 and 66.
- Minimum of 7 years' as a compliance professional at a broker-dealer, investment advisory firm, or state or federal securities office.
- Deep knowledge of 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 compliance surveillance tools, such as MyComplianceOffice (MCO) and 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.