

**Position Title:** President  
**Department:** CreativeOne Securities  
**Reports to:** CreativeOne Chief Executive Officer  
**Status:** Full-time/Exempt  
**Location:** Overland Park, Kansas

### **Position Summary**

The President of the Broker/Dealer and Registered Investment Adviser (RIA) is responsible for leading all aspects of the firm's operations, strategy, and growth. This executive role requires a sophisticated understanding of both brokerage and advisory services, regulatory compliance, business development, and financial management. The President serves as the primary leader in establishing corporate direction, ensuring regulatory compliance across both business lines, and driving revenue growth while maintaining the highest standards of fiduciary responsibility and client service.

### **Key Responsibilities**

#### **Strategic Leadership & Business Development**

- Develop and execute CreativeOne's strategic vision, business plan, and growth initiatives for both the broker/dealer and RIA divisions.
- Drive revenue growth through new business development, advisor recruitment, and expansion of service offerings.
- Establish and maintain strategic partnerships with product manufacturers, clearing firms, technology providers, and other industry stakeholders.
- Participate in the development of CreativeOne's plans and programs as a strategic partner.

#### **Regulatory Compliance & Risk Management**

- Ensure full compliance with SEC, FINRA, state securities regulators, and all applicable federal and state laws.
- Oversee the Chief Compliance Officer and compliance department in implementing comprehensive supervisory systems and procedures.
- Maintain current knowledge of regulatory changes and implement necessary policy and procedural updates.
- Coordinate responses to regulatory examinations, audits, and inquiries from FINRA, SEC, and state regulators.
- Establish and monitor enterprise risk management framework, including operational, market, credit, and reputational risk.
- Oversee annual compliance audits, financial audits, and required regulatory filings including Form BD, Form ADV, FOCUS reports, and financial statements.
- Expert understanding of fiduciary standards, Regulation Best Interest, and advisory obligations



### **Operational Excellence**

- Direct all operational functions including trade execution, clearing and settlement, custody relationships, and back-office operations.
- Manage relationships with key service providers including clearing firms, custodians, technology vendors, and third-party administrators.
- Ensure adequate business continuity and disaster recovery capabilities are maintained.

### **Financial Management**

- Plan, develop, organize, implement, direct and evaluate the organization's fiscal/sales function and performance.
- Provide Board with timely and accurate analysis of budgets, financial reports and sales data.
- Ensure the firm maintains adequate net capital requirements under SEC Rule 15c3-1 and maintains appropriate financial reserves.
- Manage P&L responsibility for all business lines.
- Optimize advisor compensation structures, grid payouts, and fee structures to ensure competitiveness while maintaining firm profitability.
- Provide strategic financial input and leadership on decision making issues affecting the organization.

### **People Leadership & Culture**

- Build and lead a high-performing executive team across compliance, operations, finance, technology, and business development functions.
- Establish credibility throughout the organization and with the Board as an effective developer of solutions to business challenges.
- Recruit, retain, and develop top advisor talent while providing support for practice management and business growth.

### **Board and Stakeholder Relations**

- Report regularly to the Board of Directors on business performance, strategic initiatives, compliance matters, and risk management.
- Serve as primary representative of the firm to regulators, industry associations, and external stakeholders.
- Build and maintain relationships with key institutional clients, strategic partners, and industry leaders.

### **Qualifications**

#### **Education & Licensing**

- Bachelor's degree in Finance, Business, Economics, or related field required; MBA, JD, or relevant graduate degree strongly preferred.
- Series 7, 63, 65 and 24 FINRA license required.



- Series 4, 53 and life insurance license desired.
- Life and variable insurance license preferred.

### Experience

- Demonstrated track record of successfully leading a broker/dealer, RIA, or dual-registered firm.
- Deep knowledge of SEC and FINRA regulations, compliance requirements, and supervisory best practices.
- Proven success in strategic planning, business development, and driving revenue growth.
- Experience managing complex operations including clearing relationships, custody arrangements, and technology platforms.
- History of successfully navigating regulatory examinations and maintaining strong relationships with regulators.
- Contracts and negotiation experience.
- Must be able to pass a CRD and background check as well as a credit check.

### Critical Skills & Competencies

- Leadership and exceptional executive management capabilities with ability to inspire and develop teams.
- Strategic thinking and analytical problem-solving capabilities.
- Decision making with sound judgment under pressure.
- Communication proficiency with excellent interpersonal skills.
- Demonstrated integrity, ethical decision-making, and commitment to client's best interests.
- Technology-savvy with understanding of advisor platforms, CRM systems, portfolio management tools, and fintech solutions.

### Work Environment & Travel

This is an executive-level, full-time exempt position requiring significant responsibility, decision-making authority, and accountability. Up to 10% travel may be required to meet with advisors, clients, regulators, and industry partners. Some evening and weekend work may be required for business development activities and advisor support.

*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.*

