creativeOne
INSURANCE • SECURITIES • WEALTH

Title: Principal – Broker/Dealer RIA
Reports to: President, CreativeOne Securities
Status: Full-Time, Exempt
Location: Overland Park, KS – in office / Position could be remote for right candidate.

Position Summary:
We are seeking an experienced and motivated **Principal** to ensure compliance with industry regulations. The **Principal-Broker/Dealer RIA** will ensure adherence to regulatory requirements, managing risk, and driving business growth. This role requires a deep understanding of financial markets, strong leadership skills, and the ability to navigate complex regulatory environments.

Key Responsibilities:

- **Review:** Daily review paperwork submitted by our Advisors and Registered Representatives to ensure compliance with all regulatory requirements.
- **Regulatory Compliance:** Ensure the firm complies with all relevant regulations, including SEC, FINRA, and other regulatory bodies.
- **Risk Management:** Identify, assess, and mitigate risks associated with broker/dealer activities. Report those risks to upper management.
- **Advisor-Registered Rep Relations:** Build and maintain strong relationships with Registered Reps' offices and home office operations, providing exceptional service and support.
- **Audit:** Support firm during regulatory audits by providing information, data gathering and reports during regulatory audits. FINRA, SEC, and financial audits.
- **Training and Development:** Support the training and development of staff, sales assistants, Registered representatives, and their staff to ensure they are knowledgeable and compliant with industry standards.

Preferred Qualifications:

- Series 7, 24 and 65 or 66 required.
- Bachelor's degree or equivalent: Business, or a related field
- Minimum of 5 years of experience in the financial services industry, with a focus on broker/dealer operations.
- Strong knowledge of SEC, FINRA, and other regulatory requirements.
- Proven leadership and management skills.
- Excellent analytical and problem-solving abilities.

- Effective communication and people skills.
- Ability to work in a fast-paced, dynamic environment.

About CreativeOne Securities
CreativeOne Securities is a leading broker/dealer firm committed to providing exceptional financial services and investment solutions to our clients.

About CreativeOne
CreativeOne is an industry-leading marketing and consulting firm that helps independent financial advisors grow their businesses. We combine deep financial expertise with full-service creative and media capabilities, delivering tailored marketing that drives measurable growth. With over 40 years of innovation behind us, we're building the next generation of advisor marketing—and we're looking for top talent to help lead the way.

****

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.

Our company does not currently sponsor employment visas. Applicants must be authorized to work for any employer in the U.S.