



**Title:** Registration & Commissions Specialist  
**Department:** CreativeOne Securities/CreativeOne Wealth  
**Reports To:** Registration & Commissions Director  
**Status:** Full Time / Non-Exempt  
**Location:** Overland Park, KS - Onsite

### **Elevate Your Career at CreativeOne!**

Looking for a dynamic and rewarding career in financial services? Join us at CreativeOne, where we blend collaboration, innovation, and excellence to forge a path in the financial services industry. We pride ourselves on being a nationally recognized leader, devoted to empowering independent financial advisors with superior services.

### **Why Join CreativeOne?**

- Energetic and fun work environment
- A culture driven by solutions and results
- Opportunities for growth and development

### **We're Building a Better Financial Future, Together**

We take immense pride in our work and are in search of like-minded individuals who are eager to make a significant impact. If you're ready to be a part of a team that's shaping the future of financial services, we'd love to hear from you.

### **Overview**

The **Registration & Commissions Specialist** is responsible for supporting licensing, registration, and commissions administration for advisors and registered representatives affiliated with CreativeOne Securities and/or CreativeOne Wealth. This role serves as a key relationship partner to advisors and internal teams by providing onboarding support, managing regulatory filings, processing commissions, and delivering exceptional service while ensuring compliance with FINRA and applicable regulatory requirements.

The ideal candidate is highly organized, detail oriented, and capable of managing multiple priorities in a fast-paced financial services environment. **We encourage individuals to apply even if they are primarily proficient in either Registration/Licensing or Commissions, rather than both areas.**

### **Duties and Responsibilities**

Duties and responsibilities include, but are not limited to:

#### **Registration & Licensing**

- Answer registration and licensing questions from advisors and registered representatives.
- Facilitate licensing and registration for new and existing advisors and registered representatives.
- Prepare and process Form U4, U5, and related registration filings.
- Initiate background and any other necessary regulatory checks.
- Monitor licensing renewals, continuing education requirements, and registration statuses.
- Oversee variable annuity appointments with various insurance carriers.
- Set up new advisors and registered representatives on internal and external systems.
- Maintain registration records and documentation in accordance with regulatory requirements.

#### **Commissions Administration**

- Review, reconcile, and process advisor commission payments for both companies.
- Verify commission calculations and research discrepancies as needed.

- Coordinate with custodians, carriers, accounting teams, and internal departments regarding commission activity.
- Maintain detailed records of payouts, adjustments, chargebacks, and overrides.
- Prepare commission reports and assist with monthly and quarterly reconciliations.
- Support year-end reporting and internal audits/regulatory examinations by gathering requested documentation.
- Maintain procedure manual and update processes as needed.

**Critical Skills Sought**

- Ability to multi-task and stay organized while handling multiple projects simultaneously.
- Willingness to learn and contribute to organizational growth.
- Team player with a positive and professional attitude.
- Detail oriented with strong organizational skills.
- Enjoy working with a variety of people and departments.
- Proactive problem solver with strong follow-through.
- Strong phone and communication skills with the ability to teach processes clearly.
- Ability to maintain confidentiality and handle sensitive information appropriately.

**Preferred Qualifications / Experience**

- Experience working within a broker-dealer and/or RIA environment required.
- Experience with registrations, licensing, commissions, or broker-dealer operations required.
- Proficient in various computer applications, including Microsoft Office Suite. Excel experience is required.
- Working knowledge of FINRA, CRD, and state registration requirements preferred.
- Must be able to pass a CRD, background, and credit check.

**Work Environment**

- Fast-paced, collaborative financial services environment.
- Ability to work independently while coordinating responsibilities across two affiliated companies.
- In-office schedule based on business needs.

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*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.***