



Title: Sr. Compliance Analyst / Advertising Review

Department: Wealth/Securities Compliance

Reports to: Chief Compliance Officer

Status: Full-time, Exempt

Location: Overland Park, Kansas (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.

Position Summary

The **Sr. Compliance Analyst** will assist the Chief Compliance Officer (CCO) in keeping our dually registered Broker-Dealer and Registered Investment Adviser compliant with federal securities laws through establishing and enforcing controls, best practices, and ethical standards. This position will assist in implementing and coordinating the compliance functions throughout CreativeOne Securities and CreativeOne Wealth.

The **Sr. Compliance Analyst** will use knowledge and skills obtained through education, specialized training and/or certification to assist the CCO in supervising a comprehensive compliance and oversight program designed to ensure compliance with all applicable regulatory requirements.

Duties and Responsibilities include, but not limited to:

- Supervision of RRs' (Registered Representative) and IARs' (Investor Adviser Representative) electronic communications, personal trading, investment recommendations, and other business activities.
- Escalate and address potential policy violations with RR and IARs as identified through supervision activities.
- Lead planning, preparation, and execution of RR and IAR branch exams.
- Enhance and maintain the organizational and record-keeping processes that enable timely and accurate responses to regulatory inquiries and examinations as they arise.
- Assist in the collection and analysis of data for regulatory reporting, disclosures, and inquiries.
- Perform annual and quarterly testing and reviews in support of Broker-Dealer and Registered Investment Adviser compliance requirements, including the annual 206(4)-7 requirements.
- Research and analyze relevant regulation, information, and resources to ensure firm policies and procedures as well as all applicable laws and regulations are followed.

- Review and recommend updates to the firm’s compliance policies and procedures, including the Code of Ethics, Compliance Manual, as well as providing mentoring and training for licensed professionals.
- Serves as an internal liaison to address ad hoc compliance operational questions and issues.
- Conducts advertising review, maintaining and ensuring knowledge of current regulatory and industry requirements.
- Serves as primary point of contact by actively monitoring and responding to the compliance email inbox and fielding inbound calls from RRs and IARS, providing timely guidance on firm policies, regulatory requirements, and day-to-day supervisory activities

Critical Skills Sought

- Strong work ethic and hands-on approach.
- Positive attitude.
- Adaptability to a frequently evolving work environment.
- Customer and business-centric and collaborative mindset.
- Proven ability to communicate effectively at all levels of an organization.
- Strong organizational skills and confirmed ability to set and meet deadlines in a high paced environment.
- Advanced analytical skills, including demonstrated experience identifying and quantifying problems and providing effective solutions.
- Excellent project-management skills, with creative techniques to coordinate across departments and functions.
- Well-versed in the art of drafting procedures and evaluating internal controls.

Preferred Background/Experience

- Bachelor of Arts/ Bachelor of Science or equivalent experience.
- Financial Industry Regulatory Authority (FINRA) licenses 7, 65 (or combination of 7 and 66), and 24.
- Minimum of 5 – 7 years of professional experience as a compliance professional at a broker-dealer, investment advisory firm, or state or federal securities office.
- Experience with advertising review and communicating requirements to advisors.
- Deep knowledge of FINRA and Securities and Exchange Commission (SEC) regulations, the Investment Advisers Act of 1940, and Investment Company Act of 1940.
- Familiarity with set up and administration of email surveillance tools, such as Smarsh, as well as cybersecurity and malware tools like Proofpoint.

Demonstrate and Represent Our Core Values

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

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.