creativeOne

INSURANCE • SECURITIES • WEALTH

**Title:** Sr. Compliance Analyst
**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.

**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 CreativeOne Securities, LLC ("C1S"), a dually registered broker-dealer and SEC-registered investment adviser, and CreativeOne Wealth, LLC ("C1W"), an SEC-registered investment adviser, compliant with applicable federal and state securities laws and FINRA rules 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 of both entities.

**Duties and Responsibilities include, but are not limited to:**

- Supervise registered representatives' ("RRs") and investment adviser representatives' ("IARs") electronic communications, personal trading, investment recommendations, outside business activities, and other business activities.
- Escalate and address potential policy violations with RRs and IARs as identified through compliance activities.
- Lead planning, preparation, and execution of RR and IAR branch exams.
- Enhance and maintain the organizational and recordkeeping processes that enable timely and accurate responses to SEC, FINRA, and state 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 annual Advisers Act Rule 206(4)-7 requirements for both entities, as well as FINRA Rule 3120 supervisory controls testing and the Rule 3130 annual certification process for C1S.
- Research and analyze relevant regulations, information, and resources to ensure firm policies and procedures as well as all applicable laws, FINRA rules, and regulations are followed.
- Review and recommend updates to each firm's compliance policies and procedures, including the Codes of Ethics, Compliance Manuals, and Written Supervisory Procedures (WSPs), as well as providing mentoring and training for licensed professionals.
- Serve as an internal liaison to address incoming compliance questions and issues across both entities.
- Conduct advertising and communications review under the SEC Marketing Rule (Advisers Act Rule 206(4)-1) and FINRA Rule 2210, maintaining and ensuring knowledge of current regulatory and industry requirements.
- Support preparation and filing of Form ADV annual and other-than-annual amendments, Form CRS updates and delivery tracking, and Form BD amendments.

- Administer Code of Ethics processes, including access person personal securities transaction reporting and pre-clearance, gifts and entertainment, political contributions, and annual certifications and attestations.
- Conduct trade surveillance and exception report reviews, including suitability and Regulation Best Interest reviews of product transactions (e.g., mutual fund switches, UITs, 529 plans) for C1S, and periodic reviews of advisory account activity, fees, and account-type appropriateness for the RIAs.
- Assist in administering heightened supervision plans and tracking completion of remediation and disciplinary actions.
- Coordinate annual compliance questionnaires and attestations, the annual compliance meeting, and Firm Element continuing education requirements for C1S.
- Assist in administering the BSA/AML program for C1S under FINRA Rule 3310, including CIP and customer due diligence exception handling, escalation of red flags and documentation supporting SAR filing decisions, OFAC/sanctions screening, AML training and attestation tracking, and coordination of the annual independent AML test.

**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 fast-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) Series 7 and/or Series 65/66 and Series 24 licenses.
- 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~~ communication requirements to advisors.
- Deep knowledge of Securities and Exchange Commission (SEC) regulations, the Investment Advisers Act of 1940, the Securities Exchange Act of 1934, and FINRA rules; working knowledge of the Investment Company Act of 1940 a plus.
- Familiarity with setup and administration of compliance surveillance tools such as Smarsh, MyComplianceOffice, Global Relay, RegEd, etc.

***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.
CreativeOne Wealth and CreativeOne Securities are owned subsidiaries of CreativeOne.

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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.*