



JOB DESCRIPTION

TITLE: Registration & Licensing Specialist

DEPARTMENT: Registration & Licensing

Independent Financial Group, LLC (IFG) an independent broker dealer in San Diego, CA is currently seeking an innovative and creative thinker to fill the role of Registration & Licensing Specialist for their Registration & Licensing department. IFG, America's Finest Broker-Dealer™, is a broker dealer with over 600 representatives in 395 offices across 40 states. IFG has been named locally by the San Diego Business Journal as one of San Diego's Fastest-Growing Private Companies for the past several years and won acclaim in 2006 with their #1 rank on the list. Nationally, IFG's success has been recognized in numerous financial services industry publications and received a 9.6 score in REP Magazine's Independent Broker-Dealer Report Card for 2014. IFG has also gained Inc. Magazine's Honor Roll status for multiple consecutive mentions on their annual Inc. 500|5000 list. Most recently, IFG was named #5 on Investment News' list of Fastest-Growing Broker-Dealers in the country.

Duties:

- Process FINRA license requests for new and existing representatives
- Opening FINRA test windows
- Updating U4 and U5 profiles
- Process fingerprints through FINRA with follow up as needed
- Prepare registration packages for new representatives & office staff
- Assist with annual FINRA renewals
- Respond to e-mails and phone calls from Investment professionals

Required Qualifications:

- Prior industry experience (2-5 years)
- Knowledge of FINRA CRD licensing system
- Four-year degree from accredited University

Competencies:

- Familiar with a variety of Financial/Brokerage industry concepts, practices, and procedures
- Strong attention to detail and accuracy
- Ability to work well under pressure and within deadlines
- Ability to work well with others, both in the home office and with our Registered Representatives
- Strong organizational skills
- Working Knowledge of Microsoft Office

Compensation:

Market-level compensation based on experience. IFG offers a competitive benefits package with company-paid medical and 401k matching.