

## **Licensing & Entitlements Specialist**

**Location:** Indianapolis, IN or Jupiter, FL **Employment Type:** Full-Time (In-Office)

### **About Us**

We are a mid-size broker/dealer and financial advisory firm committed to delivering exceptional service and personalized financial solutions for our clients. Our team values integrity, efficiency, and collaboration, and we are seeking a Licensing & Entitlements Specialist to support our advisors and operational staff by ensuring all licensing, registration, and system entitlements remain accurate, compliant, and up-to-date.

### **Position Overview**

The Licensing & Entitlements Specialist plays a critical role in maintaining the firm's compliance and operational readiness. This position focuses on managing advisor licensing and registration requirements, monitoring renewal deadlines, coordinating with regulatory bodies, and administering system entitlements across various platforms. The ideal candidate is highly organized, detail-oriented, and able to thrive in a fast-paced environment where accuracy and regulatory adherence are essential.

### **Key Responsibilities**

- Oversee and maintain advisor licensing, registrations, renewals, and continuing education requirements.
- Coordinate with regulators, vendors, and internal teams to ensure all licensing documentation is accurate and submitted on time.
- Manage onboarding and offboarding entitlements for core systems and platforms.
- Maintain internal records and databases to ensure accurate tracking of licensing status and entitlements.
- Assist with compliance documentation, regulatory reporting, and audit preparation.
- Communicate proactively with advisors and leadership regarding upcoming deadlines, process changes, or compliance impacts.
- Organize, prioritize, and execute tasks to meet regulatory standards and firm deadlines.

## **Qualifications**

- Education: Associate's degree preferred, or equivalent experience in licensing, compliance, operations, or financial services.
- Experience: 1–3 years working in broker/dealer, RIA, or financial industry compliance or back-office operations preferred.
- Strong attention to detail and organizational skills.
- Comfortable managing multiple deadlines and regulatory timelines simultaneously.
- Proficiency with Microsoft Office Suite and online registration/filing platforms.
- Excellent written and verbal communication skills.
- Familiarity with FINRA, SEC, and state regulatory requirements is a plus – not a necessity.

## **What We Offer**

- Competitive salary and benefits package.
- Opportunities for career development within a dynamic and compliance-focused environment.
- A collaborative team culture dedicated to operational and regulatory excellence.