

ONEWEALTH, LLC

BUSINESS DEVELOPMENT & MANAGEMENT

1954 AIRPORT ROAD, SUITE 230
ATLANTA, GA 30341

**JOB REC: OWLLC December 2021 Operations and Compliance Officer
for the OneWealth family of Companies.**

JOB TITLE: Operations and Compliance Officer

JOB DESCRIPTION:

The Operations and Compliance Officer role is a 25 hours per week, part-time, non-exempt hourly position based in our Atlanta, GA office. Hours are flexible Monday-Friday with shifts either 9am-1pm or 1pm-5pm.

The Operations and Compliance Officer role is a pre-requisite position for transition into a full-time executive position as Chief Compliance Office and/or Chief Operations Officer, typically after 12-24 months in this role.

GENERAL DUTIES AND RESPONSIBILITIES:

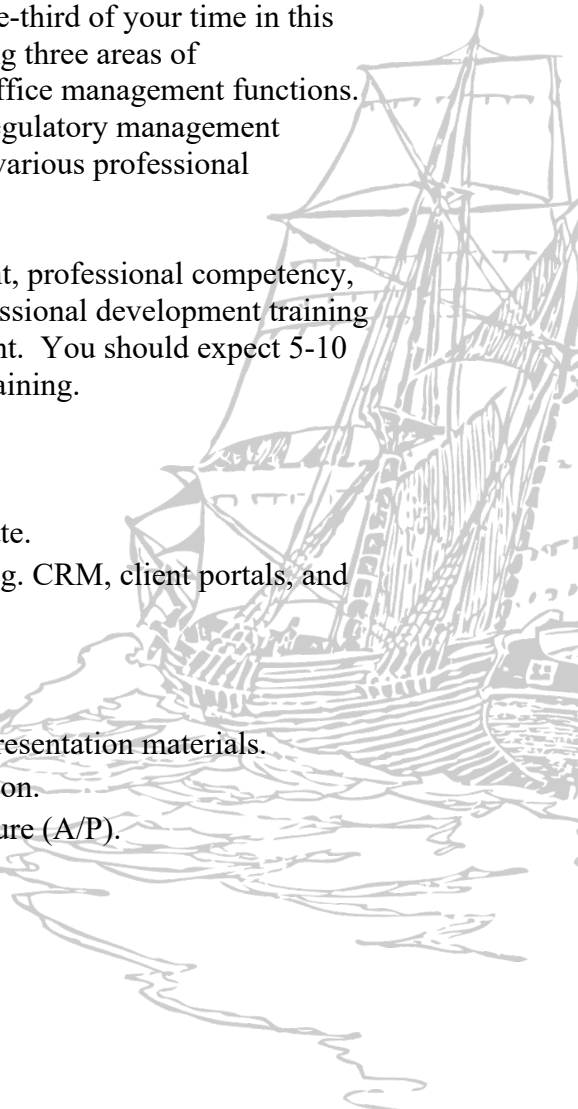
This role has three main areas of responsibility: operations support, compliance support, and individual professional development. You may expect to spend one-third of your time in this role, approximately 30-35 hours each month, divided equally among three areas of responsibility. Operations duties encompass customer, staff, and office management functions. Compliance duties encompass human resources, accounting, and regulatory management functions. Professional development duties include acquisition of various professional certifications, designations, or licenses.

All duties and responsibilities require use of independent judgement, professional competency, and personal initiative. Successful completion of all ongoing professional development training is therefore essential to success within this role and for advancement. You should expect 5-10 hours of your work week allotted for completion of the provided training.

SPECIFIC DUTIES AND RESPONSIBILITIES:

Operations Support Duties & Responsibilities:

1. Answer client and vendor phone, mail & email as appropriate.
2. Maintain customer records in internal company software (e.g. CRM, client portals, and other online document management systems).
3. Assist in maintenance of various client and staff calendars.
4. Maintain office inventories and supplies.
5. Assist in the production of marketing, advertisement, and presentation materials.
6. Perform clerical accounting activities with limited supervision.
7. Receive and log invoices, prepare and cut checks for signature (A/P).
8. Receive and deposit checks & credit card payments (A/R).



ONEWEALTH, LLC

BUSINESS DEVELOPMENT & MANAGEMENT

1954 AIRPORT ROAD, SUITE 230
ATLANTA, GA 30341

9. Generate & submit client invoices and coordinate collections to ensure payment.
10. Manage payroll, timesheets, expense reimbursements, & 401k plan contributions.
11. Generate reports, verify, reconcile discrepancies, perform limited analyses.
12. Handle client inquiries related to accounting records.

Compliance Support Duties & Responsibilities:

1. Coordinate compliance programs by line-of-business, including Human Resources, through execution of an annual compliance work plan, which may include data collection, mock surveys, internal monitoring, and auditing of activities.
2. Assist with periodic internal and external audits and inspections to identify and correct non-compliance issues with corrective actions when needed.
3. Monitor, review, and edit policies and procedural processes to ensure compliance regulations meet conformance measures and maintain, monitor, and develop applicable forms, plans, agreements.
4. Provide compliance updates and information to the management team and staff by researching and analyzing data and prepare a variety of regulatory reports.
5. Serve as the company's liaison on regulatory topics and conducts related presentations, education and trainings as requested.
6. Attend compliance and regulatory trainings to support and actively promote the firm's state, local, and federal compliance programs.
7. Measure and evaluate, quantitatively and qualitatively, program effectiveness and make recommendations for improvement.
8. Maintain all control documents, compliance reference, and resource material [website] copies of regulations, publications, bulletins, videos, posters, compliance manuals, and distributes throughout the department.
9. Maintains a working, in-depth knowledge of applicable regulations and statutes for area of responsibility.
10. Manage staff continuing education compliance.
11. Assist in vendor insurance requirement compliance
12. Coordinate company & employee insurance renewals.

Professional Development Duties & Responsibilities:

1. January 2022- [QuickBooks® Certified ProAdvisor Online Certification](#)
2. February 2022- [FINRA Series 65 License](#)
3. March 2022- [Mortgage Loan Originator \(MLO\) License](#)
4. April 2022- [QuickBooks® Certified ProAdvisor Payroll Certification](#)
5. May 2022- [The Investment Adviser Core Compliance Program Certificate](#)
6. June 2022- [Certified Mortgage Compliance Professional \(CMCP\) Certification](#)- Level I

ONEWEALTH, LLC

BUSINESS DEVELOPMENT & MANAGEMENT

1954 AIRPORT ROAD, SUITE 230
ATLANTA, GA 30341

7. July 2022- [QuickBooks® Certified ProAdvisor Advanced Certification](#)
8. August 2022- [Investment Adviser Certified Compliance Professional® \(IACCP®\)](#)
9. September 2022- [Certified Mortgage Compliance Professional \(CMCP\) Certification- II](#)
10. October 2022- [QuickBooks® Certified ProAdvisor Desktop Certification](#)
11. November 2022- [QuickBooks® Certified ProAdvisor Desktop Certification](#) (continued)
12. December 2022- [Certified Mortgage Compliance Professional \(CMCP\) Certification- III](#)

MINIMUM QUALIFICATIONS:

1. Valid Driver's License and Clean Criminal Record.
2. Bachelor's degree (Degree in Accounting desirable but not required.)
3. Able to work effectively independently and in teams.
4. Effective oral and written communication skills.
5. Ability to interact with people and make public presentations.
6. Ability to maintain accurate records.
7. Efficient time management skills.
8. Efficient analytical and organizational skills.
9. Technically proficient with computer-advanced knowledge of Microsoft Office 365 preferred.
10. Financial services related industry or business.
11. Desire for constant professional development and ongoing continuing education.
12. Knowledge and experience in Law, Banking, Finance, Insurance, Mortgage, and/or Real Estate.

COMPENSATION:

- Part-time, non-exempt, hourly position.
- Fully accountable reimbursement plan for mileage if tasks require travel.
- Opportunity to participate in company incentive compensation plan and profit sharing (401k) plan after one year employed.
- Opportunities for advancement include paid continuing education, internal lateral moves and promotions upon acquisition of professional credentials and/or appropriate licensure.

COMPANY DESCRIPTION:

The OneWealth family of companies provides clients a comprehensive suite of financial, advisory, and management services to business owners, individuals, and families. The OneWealth family of companies includes a Business Advisory Practice, a Registered Investment Advisor, an Accounting and Tax practice, a Real Estate Brokerage, Independent Insurance Broker, and Independent Mortgage Broker.

PHONE: 404.537.8317
FAX: 404.537.3055
INFO@ONEWEALTHLLC.COM
WWW.ONEWEALTHLLC.COM