



Job Description – Compliance Analyst

Support the Chief Compliance Officer in administering the BD and RIA compliance programs. Identify irregularities, and potential areas of risk; develop and implement corrective action plans for resolution, and help to mitigate future risk.

Essential Job Duties and Responsibilities

- Assist with testing and documentation of Compliance policies and procedures
- Assist in the preparation for regulatory examinations, inquiries
- Conduct examinations of branch offices
- Conduct training, as necessary
- Assist in regulatory filings
- Email reviews and marketing material reviews
- Assist in the overall administration of the compliance program

Education and Experience

- Bachelor's degree
- Relevant work experience: 5 years
- Series 7 required, 24 a plus
- Hands-on experience in monitoring and testing (FINRA Rule 3120, Sec Rule 206(4)-7)
- Retail broker-dealer experience preferred
- Knowledge of Pershing, FINRA Web CRD a plus

Skills and Abilities

- Able to work independently
- Knowledge and overall understanding of the securities industry, compliance rules and regulations, risks and product suitability
- Excellent research, analytical, communication and presentation skills
- Strong interpersonal skills with the ability to work collaboratively and with people at all levels of the organization
- Excellent project management and organizational skills and capability to handle multiple projects at one time
- Solid verbal and written communication skills
- Strong attention to details
- Must be able to work independently
- Strong knowledge MS Office and other relevant computer applications