

Job Title: Compliance Associate (Principal)
Department: Compliance
Reports To: Sr. Compliance Associate
FLSA Status: Full-Time, Exempt
Prepared by: Chief Compliance Officer
Prepared Date: February 26, 2010

Job Description:

Under direct supervision, performs compliance responsibilities by monitoring all business activities to ensure the firm remains in compliance with the company's policies, procedures and industry regulations.

ESSENTIAL DUTIES AND RESPONSIBILITIES: include the following – other duties may be assigned.

- Review proprietary and personal trading.
- Review client account files.
- Review Marketing Materials.
- Review Communications with the public.
- Research rules and regulations.
- Process registrations.
- Perform Compliance reviews and audits.

QUALIFICATIONS:

To perform this job successfully, an individual must be able to perform each essential duty satisfactorily. The requirements listed below are representative of the knowledge, skill and/or ability required.

KNOWLEDGE, SKILLS AND ABILITIES REQUIRED:

- Strong organizational skills, ability to prioritize, work under pressure and be able to be assertive when it comes to dealing with multiple departments.
- Ability to pay high attention to detail.
- Have effective writing and communication skills.
- Solid analytical skills and the ability to solve problems.
- Ability to multi task and be a part of a fast paced environment.
- Have excellent computer skills.
- Be able to work well with sales, support and management teams.
- Set a tone of professionalism and ethical responsibility.

EDUCATION and/or EXPERIENCE:

A bachelor's degree with 3-5 years of industry experience.
Series 7, 24, and 63 or 66.

COMPUTER SKILLS: Proficient in MS Office products, with a strong focus on Excel.