

FINANCIAL SERVICES (FFS) LICENSING & REGISTRATION COORDINATOR - AGOURA HILLS, CA - 5766

Will complete all necessary tasks for initial FINRA Licensing, maintenance, and terminations of Licenses. Heavy emphasis on customer service and continuous improvement while ensuring compliance with FINRA and other relevant regulations. Handle straightforward cases and works with the Senior Coordinators on more complicated cases. Provides excellent service to the agency force and employees. The Coordinator will be licensed as a FINRA Principal and have responsibility for signing off on U4's, Disclosures, and U5's on behalf of the firm. They will have accountability for staying current with rules and regulations and making appropriate decisions.

Customer service - email/phone contact with agency force and employees. Review Licensing applications, maintenance, and termination issues and make decisions per FINRA and firm rules. Running/creating reports to assist management in decision making. Ad hoc projects as assigned by management

REQUIREMENTS:

College degree or 4 years of related industry experience. Must have completed or will complete FINRA Series 6, 26, and 63 registrations within 6 months of hire.

****Please be advised that FFS is a limited broker-dealer as such only the Series 63 portion of the Series 66 will be registered.**

Experience Requirements

Experience with FINRA reporting systems. Microsoft Excel and Word.

SEND RESUME AS AN MS WORD ATTACHMENT TO diane@dmstone.com