

COMPLIANCE ANALYST – AGOURA HILLS, CA – REF 5777

Researches, develops, administers and coordinates activities related to compliance consistent with securities regulations, systems and procedures to ensure that the firm as a broker-dealer is in compliance with all State, Federal and Securities (Self-Regulatory Authority /SRO) regulations.

Provides research and administrative support to compliance program.

Participates in the development, implementation and enforcement of policies and procedures pursuant to regulatory and firm compliance and supervision requirements.

Participates in development of new business process implementations.

Initiates and carries out independent research projects.

Reviews legislation and regulatory rulings and pursues changes necessary to meet requirements. Licensed Principal authorized to review and approve all forms of correspondence and public communications.

Coordinates responses to inquiries from regulators and provides assistance to other functions concerning compliance issues.

Participates in the development of compliance training and other annual requirements for all registered agents, filed managers, executives and employees.

Creates and prepares periodic reports for use by Compliance, company management and regulatory authorities. Coordinates responses to inquiries and investigations from regulatory authorities. Investigates and responds to customer written/verbal complaints.

Prepares reports and written correspondence pursuant to regulatory requirements. Reviews, analyzes and approves corporate and Agent/RR correspondence and communications with the public including advertising, sales literature and promotions. Prescribes appropriate action to infractions, major violations and other non-compliant deficiencies in electronic communications (email, social media) by registered individuals Participates in the coordination and facilitation of market conduct examinations and other audits, investigations and prepares responses to inquiries and criticisms, in cooperation with Firm's CCO and when applicable,

Company's Legal Department. Conducts annual review and testing of the broker-dealer's policies and procedures. Analyzes current processes, prepares a report of current status as well as noted deficiencies. Suggest best practices and corrective actions as necessary.

Contributes to the Firm's annual compliance needs assessment and recommends training and education as well as annual attestations: Annual Compliance Meeting (ACM), Compliance Questionnaire (ACQ) and Firm Element Continuing Education (FE CE) Principal review and approval for personal securities accounts, other business activities, gifts and gratuities, cash and non-cash compensation arrangements.

QUALIFICATIONS:

4 year college degree

FINRA Series 6, 26, 63 and 51 required (within 6 months of hire)

Securities Industry experience - preferably in compliance

Experience with FINRA reporting systems preferred

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