

Compliance Analyst

The Compliance Analyst will report to the Senior Compliance Officer for Advertising and be responsible for reviewing communications from all registered representatives, investment advisory representatives, and administrative staff to ensure compliance with all the federal, state, and FINRA rules and regulations, as well as Concorde's policies and procedures. If you're a motivated individual with industry experience and strong communication skills who is looking to develop new expertise in a highly valued niche, then our dynamic group might be right for you. Remote applicants welcome.

Roles and Responsibilities:

- Assist the Senior Compliance Officer with review and approval of marketing and advertising submissions.
- Review Representative correspondence and email; identify, address, document, and escalate issues discovered when appropriate.
- Periodically review marketing surveillance systems to help ensure they are kept up-to-date in compliance with regulations and policies.
- Review and follow-up on exception and trending reports.
- Assist in monitoring Representative activities aligning with the firm's Written Supervisory Procedures.
- Identify operational and compliance risks and recommend and implement improvements.
- Refer to and provide input, as necessary, to the Compliance department on any regulatory violations, sales practice improprieties, or actual or potential violations of Firm policies and/or regulatory requirements.
- Stay up to date with the industry and regulatory changes.
- Perform other duties as assigned

Abilities Required:

- Undergraduate Degree in Business, Accounting, Finance, or related discipline desired.
- Over 1-year experience in the insurance and/or securities industries.
- Basic understanding and knowledge of compliance, suitability issues, securities products including complex alternative products.
- Knowledge of FINRA, SEC, and state rules and Regulations.
- Strong computer skills required, including solid ability using MS Outlook, MS Word, and MS Excel as well as other internal systems.
- Strong customer service skills and the ability to navigate and provide solutions to representative issues.
- Excellent communication skills and pleasant attitude toward clients and team members
- Strong ability to multi-task, prioritize, and work independently with an eye to detail
- Ability to use strategic problem-solving skills to recommend improvements to compliance systems
- Must be organized and process-oriented
- Proactive collaboration and service-based responses with business partners on escalated issues and concerns • Solid work ethic and proven professionalism
- Open to growth and learning opportunities

Abilities Required:

- SIE (Securities Industry Essentials Examination), Series 7 registration preferred.

Job Type:

- Full-Time

Salary:

- \$40,000.00 - \$50,000.00 per year