



Compliance Specialist

Minneapolis, MN

Focus Financial is recognized as a leading independent financial advisory firm focused on providing comprehensive wealth management and financial planning services to clients since its inception in 1993. As one of the largest independent, non-proprietary advisory firms, Focus Financial has more than \$5.5 billion in assets under management with over 120 financial advisors. Since 2003, we've consistently been ranked as one of the metro area's Top 25 Asset Management Firms by the *Minneapolis St. Paul Business Journal*.

We are seeking a Compliance Specialist who is a results-driven individual to work in our Compliance Department in our Minneapolis office. The position ensures advisors and their teams are in compliance with the rules and regulations of regulatory agencies, broker dealer and Focus Financial's policies and procedures are being followed, and that behavior in the organization meets the company's Standards of Conduct.

Responsibilities:

- Conduct compliance review of all the securities and advisory transactions conducted by financial advisors.
- Maintain required compliance documentation and records.
- Be a resource for advisors to provide compliance advice/guidance and resolve issues regarding BD securities accounts.
- Correspondence review.
- Support advisors with licensing.
- Develop, coordinate or contribute to advisor training sessions regarding compliance, procedures, best practices, or industry topics.
- Create, initiate, maintain, and revise policies and procedures for the general operation of the Compliance Program.
- Coordinate and review advisor annual compliance disclosures and certifications.
- Provide reports on a regular basis.
- Identify potential areas of compliance vulnerability and risk; develop and implement corrective action plans for resolution of problematic issues.
- Develop processes and assemble resources necessary to continuously identify and remain current with all compliance requirements of the organization.
- Conduct periodic branch office reviews.

Requirements and Experience:

- Current Series 7, 65 or 66, and 24 securities registrations are **required**.
- Series 4 and 53 are also preferred – if you do not yet have them, they will be required to obtain in the future.

- A four-year college degree required or 5+ years' financial services compliance or relevant experience required.
- Previous supervisory, SEC Registered RIA compliance experience and/or training experience is plus.
- Solid/advanced proficiency with Excel spreadsheet software program **required**.
- Knowledge of securities compliance rules, policies and procedures required.
- Able to read and interpret, firm and broker dealer procedures and policies, and apply them.

Skills and Abilities:

- Excellent oral and written communication skills.
- Strong analytical and investigative skills.
- Able to establish and maintain cooperative working relationships.
- Able to deliver a clear and concise message in written form through routine reports, memos, and correspondence.
- Able to prepare clear, sound, accurate, and informative statistical, compliance, and other reports containing findings, conclusions, and recommendations.
- Self-directed yet works well with and collaborates with the team.
- Process driven; able to assess a situation, provide a solution and implement.
- Must be detail oriented and organized.

To learn more, visit www.focusfinancial.com. If this sounds interesting and you have earned the required registrations, please email your resume, cover letter and salary requirements to: careers@focusfinancial.com