

GLOBAL FINANCIAL PRIVATE CAPITAL

Job Description

JOB TITLE: Compliance Coordinator/ Advertising Analyst

Reports To: Compliance Director

Exempt

SUMMARY

The Compliance Coordinator/Advertising Analyst is responsible for reviewing all advertising for Global Financial sales force and internal marketing department and ensuring that the advertising/marketing materials comply with all laws and regulations.

This position will report to the Compliance Director and will be primarily responsible for effectively reviewing and managing assigned reviews for traditional, web-based, social media and any other forms of advertising/marketing materials submitted; and, independently and collaboratively carrying out the responsibilities of the position below, with minimal supervision.

Responsibilities for this position include:

Core duties and responsibilities include the following. Other duties may be assigned.

- Performs customer advisor office audits; providing an essential feedback source as to the level of compliance of our sales activities with the public.
 - Serves as a primary resource for interpreting company policies and procedures in response to internal compliance inquires.
 - Assists in the creation and maintenance of files required to be kept to be compliance with regulatory requirements.
 - Assists in the formulation, maintenance, interpretation and enforcement of firm policies and procedures.
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- Review and approve advertising and marketing communications from advisors and internal marketing department, including websites, newsletters, social media and sales literature;
 - Ensuring all advertising and sales literature complies with state and federal laws, rules and regulations, and internal standards;
 - Processing, organizing, and documenting multiple dimensions of compliance review activity;
 - Maintaining and expanding the functionality of the Advertising Review Database in a manner that is most efficient in accomplishing compliance reviews;

- Maintaining electronic advertising files required by laws and regulations;
- Maintaining the flow of submitted material through the advertising review process;
- Analyzing communications and information and making accurate and independent compliance decisions;
- Creating and sharing work product information that will assist in the advertising compliance functions and promote efficiency in the compliance unit;
- Managing multiple projects creatively and effectively with minimal supervision;
- Prioritizing competing projects when necessary and designing a plan for completion of those projects;
- Collaborating and communicating with marketing and sales partners regarding compliance needs as it relates to work product;
- Communicating with regulators regarding required filings;
- Assisting in the production of materials in response to market conduct examinations and other regulatory requirements and audits as needed;
- Independently conducting audits of internet and e-communications to ensure compliance;
- Other projects as needed.

Ideal Education, Experience and Professional skills:

- Minimum BA/BS degree.
- A minimum of 3-5 years of experience in financial services including marketing review experience.
- Broad understanding of advertising regulations relating to SEC, FINRA Requirements.
- Remain current with applicable securities laws, rules and regulations with respect to financial product advertising and marketing
- Strong background in securities, and investment advisory advertising standards
- Series 7, 66 (or 63 and 65), required.
- High interest, understanding, and proficiency in all areas of web-based communication and social media.
- Ability to assist in the documentation of processes that can help streamline social media compliance review while also maintaining quality controls to ensure compliance with laws and regulations.
- Proficiency in Excel, Word, Power Point, SharePoint, and Outlook applications.
- Excellent verbal and written communication skills.

- Flexibility with projects as they are assigned and as they change with the needs of the team, company and internal marketing customers.
- Ability and willingness to assess risk and make independent professional decisions within the realm of responsibility.
- Strong ability to multi-task in a fast-paced environment.
- Well-developed analytical abilities, organizational skills, and attention to detail.
- Ability to work well under pressure, in both independent and team environments.

ACKNOWLEDGMENT:

I have read and acknowledge receipt of this job description and agree to perform the responsibilities as described above. I understand this job description is intended to describe the general nature and level of work performed by persons assigned to this classification. It is not intended to be an exhaustive list of all responsibilities, duties and skills required of employees who hold this position.

Supervisor Signature

Employee Signature

Date

Date