

GLOBAL FINANCIAL PRIVATE CAPITAL

Job Description

JOB TITLE: **Compliance Coordinator**

Reports To: Director of Compliance

Exempt

SUMMARY

This position is primarily responsible for providing compliance support and oversight for both by performing the following duties. The Compliance Coordinator will assist the Director of Compliance of Global Financial Private Capital, LLC (RIA) (GFPC) and G.F. Investment Services, LLC (BD) (GFIS) with its daily compliance and surveillance functions to ensure that GFPC/GFIS and its Advisors comply with Investment Advisers Act, FINRA, state rules and regulations, and firm-wide policies and procedures.

ESSENTIAL DUTIES AND RESPONSIBILITIES:

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

- Being a primary contact, liaison and partner for GFPC/GFIS Advisors
- Answering questions and providing solutions to GFPC/GFIS Advisors
- Reviewing and monitoring email and written correspondence
- Reviewing and monitoring trading, exception and surveillance reports for red flags and issues
- Reviewing and monitoring clients' and Advisors' accounts for trading activity, red flags and issues
- Reviewing and monitoring Anti-Money Laundering reports
- Assists in the gathering of internal information in response to regulatory request or examination.
- Assists in the creation and maintenance of files required to be kept to be compliance with regulatory requirements.
- Maintaining internal compliance databases
- Assisting the Director of Compliance with special projects as needed

SUPERVISORY RESPONSIBILITIES:

This job has no supervisory responsibilities.

SKILLS, EXPERIENCE & QUALIFICATIONS

- Bachelor degree
- 2 – 4 years of experience in compliance and/or operations role with a B/D and/or RIA
- FINRA Series 7 preferred (additional FINRA registrations, including Series 24, and 65 may be required)
- Strong knowledge of Investment Advisers Act, FINRA, SEC, state securities and investment adviser rules and regulations • Ability to multi-task, work well under pressure and function in a fast paced environment • Ability to work hours as needed • Strong organizational, communication, written and interpersonal skills • A positive and service orientated attitude • Proficiency in Microsoft Word, Excel and Outlook

PHYSICAL DEMANDS:

The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.

While performing the duties of this job, the employee is regularly required to sit; use hands to finger, handle, or feel; reach with hands and arms and talk or hear. The employee is occasionally required to stand and walk.

The employee must occasionally lift and/or move up to 10 pounds.

Specific vision abilities required by this job include close vision, distance vision, color vision, peripheral vision, depth perception and ability to adjust focus.

WORK ENVIRONMENT:

The work environment characteristics described here are representative of those an employee encounters while performing the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.

The noise level in the work environment is usually moderate.

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