

GLOBAL FINANCIAL PRIVATE CAPITAL, LLC

Job Description

JOB TITLE: **Due Diligence Analyst**

Reports To: CCO

October 2017

DEPARTMENT: Compliance

G.F. Investment Services, an independent broker-dealer in Sarasota, FL is currently seeking a Due Diligence Analyst to perform analysis of the company's alternative financial products. The analyst will be responsible for the development and maintenance of effective and efficient due diligence compliance program, partnering with other support groups such as investment management and research, sales, operations and technology to achieve effective processes and controls.

ESSENTIAL DUTIES AND RESPONSIBILITIES:

- Work closely with the Chief Compliance Officer.
- Perform due diligence and analysis on investment products including products focused on real estate, private debt, etc.
- Prepare internal due diligence reports from data gathered during the analysis.
- Organize and maintain due diligence filing systems, file correspondence and other due diligence related records

KNOWLEDGE, SKILLS AND ABILITIES:

- Strong analytical skills.
- Ability to interact with product vendors and registered representatives.
- Comfortable asking hard questions.
- Ability to work in a team environment.

EDUCATION AND CREDENTIALS:

- College degree in a business related field.
- Securities licensing a plus.
- Real estate knowledge a plus.

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.

Supervisor Signature

Employee Signature

Date

Date