



SMITH MOORE

Providing financial advice since 1913

Compliance Officer

Founded in 1913, Smith Moore is one of the oldest investment firms established west of the Mississippi River. Smith Moore provides financial guidance for every stage of life through a comprehensive investment approach that evolves as the client moves through the key milestones of wealth planning: Accumulation, Distribution, and Legacy.

Position Description

Smith Moore's Compliance Officer analyzes risk through various exception-based monitoring reports, supervision tools and client databases for potential sales practice issues and to ensure compliance with regulatory and Firm policies and procedures.

In addition the Compliance Officer will retrospectively review fund movement in and out of Smith Moore accounts to ensure compliance with Anti-Money Laundering regulations.

The Compliance Officer will also direct Smith Moore's Firm Element Continuing Education Program.

This position reports directly to the Chief Compliance Officer.

Responsibilities

- Analyze exception-based monitoring reports
- Assist the Compliance team by coordinating, recording and tracking various department information
- Monitor numerous Sales and Compliance activities within the firm to ensure compliance with regulatory and firm policies and procedures
- Assist the firm in research and responding to regulatory inquiries from the SEC, FINRA, MSRB and various state inquiries
- Administration of the firm's Written Supervisory Procedures
- Administration of the firm's continuing education needs
- Perform other duties as requested to meet the ongoing needs of the firm

Requirements

- Bachelor's Degree preferred
- Series 7 and 63/66 required, Series 9, 10 and 24 licenses must be obtained within 6 months
- Strong communication and interpersonal skills to be able to discuss issues with Smith Moore's management team, home and branch office personnel

Please reply by email to: careers@smithmoore.com