



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 assists with providing direction and oversight of the firm compliance program. The compliance officer is responsible for identifying and assessing areas of compliance risk and assisting with the development and implementation of systems and controls to address those risks. This position will also be responsible for coordinating resources to ensure the ongoing effectiveness of the compliance program.

Responsibilities

- Assist the Compliance team with the development and implementation of policies and procedures, internal controls, and systems to manage compliance risks associated with RIA and Broker-Dealer.
- Monitor and test numerous sales and client related activities within the firm to ensure compliance with various regulatory and firm policies and procedures
- Research, interpret and translate rules & regulations, synthesize complex information and discuss it in a manner that is easily understood by firm employees.
- Review communication with the public: advertising, social media, sales correspondence, speaking engagements and presentations.
- Assist with maintaining and updating the firm's Written Supervisory Procedures
- Administration of the firm's continuing education needs.
- Provide guidance on general compliance policies in response to employee inquiries.
- Analyze exception-based monitoring reports
- Analyze money movement and Anti-Money Laundering reports
- Assist with the research and draft response to regulatory inquiries from the SEC, FINRA, MSRB & states.
- Assist with regulatory examinations and external audits
- Review and approve various workflow items and investment and insurance processing
- Develop productive working relations with firm management and employees
- Perform various ad hoc duties as requested to meet the ongoing needs of the firm

Requirements

- Ethical, knowledgeable, fair, reliable, collaborative, ability to maintain confidentiality and possessing a strong work ethic.
- Bachelor's Degree preferred
- Series 7 and 63/66 required. Series 4, 9, 10 and 24 licenses to be obtained within 6 months
- Strong communication and interpersonal skills to be able to discuss issues with management, home office and branch office personnel.

Please reply by email to: careers@smithmoore.com