

Chief Compliance Officer

Employee Type: Full-Time
Industry: Financial Services
Manages Others: Yes
Job Type: Executive Management
Education: 4 Year Degree
Experience: 5 + years of experience
Travel: Required
Posted: 8/5/09
Contact Information: email@mainstreetsecurities.com

A boutique broker dealer firm located in Western Kansas is currently seeking a CCO for a broker dealer entity, which is comprised of over 60 representatives and offices located in 15 states. This is a great opportunity to be a part of a growing and stable company.

The position would be responsible for all aspects of compliance including:

- Overseeing and developing the overall compliance strategy and directing and monitoring the firm's overall compliance program.
- Work with staff and outside legal counsel in understanding and addressing all applicable laws and regulations.
- Develop, implement and maintain corporate compliance policies and establish compliance review procedures.
- Direct the activities of the firm's compliance staff and work alongside legal counsel in dealing with regulatory agencies, internal and external advisors on compliance related issues.
- Coordinate with compliance staff in strengthening the internal audit function.
- Work closely with management to establish an appropriate compliance culture throughout the firm including the development of specialized training programs.
- Work closely with each individual representative to ensure that the firm's printed marketing materials (e.g., advertisements, fact-sheets) comply with regulatory requirements.
- Conduct yearly required branch office visits.

Requirements

- Minimum of 5 years experience as a Chief Compliance Officer of a retail oriented Securities Broker/Dealer
- Strong leadership, problem solving and communication skills.
- Holds current securities licenses: 7, 63, and 24.
- Variable annuities experience a plus.

Compensation:

- Salary upon qualifications
- Full benefit package

Community Information

Hays, America is a university community of 20,000 people located half way between Kansas City and Denver on Interstate 70. We are the regional hub of Northwest Kansas for retail, education, medical service, entertainment, and recreation. Ellis County has the largest retail pull factor in the state. Our downtown is being revitalized with unique shops and entertainment and the north side of town is expanding with additional retail offerings. We have a very diversified mix of businesses in the area although agriculture and oil are still major parts of the regional economy. The Hays Regional Airport offers two commercial flights each day to both Denver and Kansas City. And, according to recent rankings by Progressive Farmer, E-Podunk, and BizJournal; Hays, America has a great quality of life. We happen to agree.