

Foresters Equity Services, Inc.



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A wholly owned subsidiary of the Foresters

Position: Compliance Associate

Job Details:

Foresters Equity Services, Inc., a broker-dealer and registered investment adviser firm based in San Diego, CA, is seeking an entry to mid-level Compliance Associate to assist the AVP of Compliance. The job description for the position follows.

Job Description – Compliance Associate

Established San Diego-based broker-dealer/registered investment adviser is seeking an entry to mid-level Compliance Associate to join its team. This newly-created position would work directly with and report to the firm's AVP of Compliance and would assist in implementing regulatory compliance programs for the firm.

KEY RESPONSIBILITIES & ACCOUNTABILITIES

- Address overall Broker-Dealer and Registered Investment Advisor compliance issues including relationships with Regulators, Registered Representatives; Investment Advisor Representatives; Investment Advisor Registration; Customer complaints; Anti-Money Laundering policy; Firm Element Continuing Education Program; etc.
- Keep up to date with firm and industry regulations regarding Broker-Dealer and Investment Advisory. Able to interpret policies and incorporate into daily processes.
- Directly responsible for securing various Investment Advisory (IA) state registrations for the firm.
- Create, manage and retain all regulatory advisory documents including ADV part 2A plain English brochure and part 2B supplements for all Investment Advisor Representatives and the IA.
- Designated IA contact for various state regulators.
- Conduct advertising review, including Independent Registered Representative websites and all print advertising, correspondence review including print and electronic internal marketing pieces.
- Assist with branch office and non-branch onsite audit program as assigned.
- Fulfill assigned compliance responsibilities while fostering a positive relationship with Independent Registered Representatives and Investment Advisor Representatives.
- Assist with review of personal trading records.
- Assist with email reviews.
- Assist the AVP of Compliance Officer with new compliance initiatives.

Other duties and special projects as assigned by the AVP, Compliance

Candidate Requirements:

KEY QUALIFICATIONS & COMPETENCIES

- Series 6/7, 63, 24/26 and 65/66 minimum licenses required
- Bachelor's degree or equivalent experience
- A minimum of 3 years industry experience and 2 years compliance experience with a Broker-Dealer
- In depth knowledge of Broker-Dealer
- Knowledge of Investment Advisory
- Knowledge of Advertising Regulations
- Working knowledge of compliance and regulatory issues that pertain to policies and procedures.
- Understanding of FINRA, SEC, MSRB and State rules and regulations
- Proficiency with all Microsoft applications (specifically word and excel) & familiarity with social media
- Skills and experience sufficient to successfully complete long and short term projects
- Excellent written and verbal communication skills to communicate both internally and externally
- Strong analytical and research skills
- Organizational and time management skills to handle multiple priorities in a fast paced environment
- Strong attention to detail

Salary/Benefits:

Competitive Salary and generous benefits.

Employer Contact Information:

Company Address: **Foresters Equity Services, Inc.**
San Diego, CA

Website: www.forestersequity.com

Send Resume To: forestersequityHR@forestersequity.com

Additional Information:

Please attach a word document of your Cover Letter
Please attach a word document of your Resume
Please include Your Salary History

Note Well

Do not send resume item via fax
No Phone Calls, Please