



## COMPLIANCE MANAGER

Our client markets and wholesales variable and fixed annuities and life insurance as well as mutual funds and managed accounts through a variety of intermediary distribution channels, including wirehouses and regional brokers/dealers, marketing general agents, independent planning firms, banks and corporate specialty brokers.

This position requires a strong compliance manager who is highly collaborative, having a minimum of 8 years of progressive corporate and line experience in an organization operating in a fast-paced environment.

### RESPONSIBILITIES

- Conduct regulatory review and overall business evaluation of advertising and sales literature produced to ensure compliance with NASD, SEC and state securities and insurance regulations.
- Responsible for approval/disapproval for use and appropriate regulatory filings with the NASD.
- Responsible for maintaining compliance files to satisfy NASD data retention requirements. Also responsible for proactively addressing advertising violations, bringing them to management's attention and assisting in their resolution.
- Serve as a Technical Representative to Marketing Department Staff.
- Participate in various compliance training initiatives.

### REQUIREMENTS

- Candidate must be an experienced sales and advertising material reviewer with Investment Company products (mutual fund, variable annuity and/or variable life insurance) experience preferred.
- Employer Sponsored Plan experience not required but would be a plus.
- Candidate should also have a strong general compliance background. Candidate must also possess the NASD Series 7 and Series 24 designations and have or obtain Series 66 within first year.

- Candidate needs to have a thorough understanding of self-regulatory organizations, legal obligations of the broker/dealer, investment advisor.
- Candidate should have excellent relationship skills and be able to partner effectively with the Marketing Department in order to craft solutions which effectively balance business needs with compliance and legal risks.
- Legal degree not required, but would be a plus.
- Position will be located at principal office in Philadelphia.
- Competitive salary and bonus opportunity.