



SENIOR COMPLIANCE MANAGER

Radnor, Pennsylvania

Our client, Lincoln Financial Distributors, Incorporated, 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.

Reporting to the Assistant Vice President, Compliance, this position requires strong academic credentials and 3-5 years compliance experience. Legal degree not required, but would be a plus. This position offers a highly competitive salary, incentive compensation and an exceptional benefit program.

POSITION RESPONSIBILITIES:

- Conduct regulatory review and overall business evaluation of advertising and sales literature produced to ensure compliance with FINRA, SEC and state securities and insurance regulations. Responsible for approval/disapproval of material for use and appropriate regulatory filings with FINRA and/or State Insurance Departments.
- Responsible for maintaining compliance files to satisfy FINRA/State data retention requirements. Also responsible for proactively addressing advertising violations, bringing them to management's attention and assisting in their resolution.
- In addition to serving as a Technical Resource to LFD Marketing staff, this position will specialize in electronic media in support of LFD training initiatives via **Podcasting**.

IDEAL CANDIDATE PROFILE:

- Candidate must be an experienced sales and advertising material reviewer with Investment Company (Mutual Fund), Variable Annuity and Variable Life Insurance background required. Candidate should also have a strong general compliance background. Candidate must also minimally possess the FINRA Series 6 and Series 26 registrations; FINRA and obtain Series 7 and 24 registrations are preferred; obtain FINRA Series and 66 registration as needed.
- Candidate needs to have a thorough understanding of self-regulatory organizations, legal obligations of the broker/dealer and the investment advisor.
- Candidate should have excellent relationship skills and be able to partner effectively with Marketing in order to craft solutions that effectively balance business needs with compliance and legal risks. Ability to influence the decisions and actions of all levels of associates and management, especially in weighing business risks.