



SENIOR COMPLIANCE MANAGER

Hartford, Connecticut

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:

- This position reports directly to the Assistant Vice President – General Compliance. The individual must have strong academic credentials and 3-5 years Compliance experience, preferably with a large Broker/Dealer.
- Work with the Chief Compliance Officer, Assistant Vice President, Compliance (General) to establish LFD compliance strategy, policies and procedures.
- Draft LFD compliance policies and procedures
- Work closely with the Assistant Vice President – Compliance (General) regarding FINRA and SEC routine, sweep and directed audits, state securities division and state insurance department audits and LFG Internal Audits; ensure that accurate and timely responses are provided to the regulators and IAD, respectively.
- Design comprehensive action plans as a result of regulatory and internal audits both as necessary to implement specific corrective requirements or as appropriate to enhance LFD's compliance posture; ensure that appropriate parties are identified and apprised that they are responsible for taking the corrective actions; follow through to ensure that the appropriate parties are identified and apprised that they are responsible for follow through and take the appropriate corrective actions; follow through to ensure that all corrective actions have been taken; and fully document the results.
- Take a lead role in the oversight of the e-mail review process and the training of supervisory principals regarding their required review and approval of e-mail
- In conjunction with the Assistant Vice President – Compliance (General), provide compliance advice to sales managers, wholesalers, and conference and events planning regarding all compliance matters (particularly non-cash compensation matters), other than marketing and advertising review and approval matters

- Work with the Assistant Vice President – Compliance (General) regarding the annual compliance certification to the LFD Vice President and Chief Compliance Officer that LFD's processes and procedures are in full compliance with applicable FINRA rules pertaining to general compliance issues.
- Work with the Assistant Vice President – Compliance (General) in designing and implementing the annual firm element training program, annual compliance meeting, and new employee training program; ensure that these programs are effectively implemented and appropriately documented.
- Participate in LFD Compliance presentations
- Draft Compliance Alerts concerning new compliance laws and regulations, matters that develop as a result of regulatory or internal audits or areas of special emphasis within LFD
- Respond to day-to-day questions/issues raised by the LFD Compliance client base on a broad variety of compliance issues
- Represent LFD and/or EM in various enterprise-wide compliance initiatives
- Perform special projects as assigned by the Assistant Vice President – Compliance (General)

IDEAL CANDIDATE PROFILE:

- Must have a Bachelor's degree or equivalent experience and 3-5 years of compliance and/or legal and/or industry experience. Possess the FINRA Series 7 and 24. Having the Series 66 is required within 12 months of hire. Must have a strong general compliance background and be knowledgeable concerning federal and state regulatory requirements. Acquire within a short time frame an understanding of LFD's business and a working knowledge of mutual funds, retirement plans, variable annuities and variable life insurance.
- Possess a thorough understanding of self-regulatory organizations. Must have at least a good working knowledge of the legal obligations of broker/dealers, investment advisers, and LFD. Have some experience working with regulators.
- Possess strong oral and written communication skills and be able to communicate effectively sensitive or difficult situations to LFD and EM management and management in other LFG affiliates. Ability to influence the decisions and actions of management and associates, especially in weighing compliance risks against business needs.
- Expected to enhance professional education while developing an in depth knowledge of compliance and business issues.
- Demonstrated proficiency in the following job competencies: accountability and execution, agility and innovation, challenge and excellence, decision-making, judgment, relationship and influence skills, teamwork and collaboration.
- Legal degree not required, but would be a plus.
- Candidate must be willing to travel approximately 10% of the time.