**COMPLIANCE ADVERTISING ANALYST**

**Summary Expectations**

The Compliance Advertising Analyst uses independent judgment and discretion to ensure the regulatory compliance of assigned fund and advisory clients’ marketing materials. Responsibilities will be split between SEC (Investment Advisor Act) and FINRA-related materials, to include fact sheets, websites, reprints, presentations, reports, letters and internal communications. Using your understanding of the regulations, project management skills, relationship building capabilities and tech-savvy ideas you will provide timely regulatory compliance advice and creative guidance to marketing and others related to internal and external communications about our products, services and brand. You will be exposed to a wide array of products including mutual funds, ETFs, institutional accounts and composites in a range of disciplines (equity, fixed income, asset allocation and alternative). To be able to perform efficiently, one must have a strong knowledge of FINRA (Rule 2210) and SEC regulations (’33, ’34 & ’40 Acts) and investment products.

The Compliance Advertising Analyst will report to the Chief Compliance Officer and work in the Richmond, VA headquarters.

**Responsibilities**

* Provide timely, creative, clear, and thoughtful guidance to other departments and team members on advertising compliance matters for existing products and new product launches.
* Assist with preparing and updating advertising-related procedures and manuals.
* Keep abreast of changing regulations that impact our business. Be a change agent in optimizing, implementing, and continuously evolving best-in-class review processes, policies, and procedures.
* Proactively pursue professional development activities.
* Review, edit and approve communications with the public produced by Financial Advisors, Branch Offices and Home Office for compliance with FINRA, SEC, MSRB, NFA, Federal and State rules and regulations. Materials include advertisements, sales literature, training material, reprints, RFPs, commentaries, fact sheets, product-sponsored materials, websites, presentations, social media postings, etc.
* Understanding of FINRA/SEC rules and regulations and learn how they apply to social media in our business.
* Ensure materials created for public use that require filing with FINRA are done so within stated timeframes. Review FINRA comment letters as applicable to ensure that they are resolved and responded to in a timely manner.
* Stay abreast of changing regulations that impact our business to continuously evolve best-in-class review processes, policies and procedures. Identify areas for improvement and work with the Compliance Manager to implement solutions.
* Participate in and support all department and corporate compliance-related initiatives, including training of associated persons on the Firm's policies, procedures and regulatory requirements.
* Identify and proactively resolve issues.
* Assist as needed in the review and approval/disapproval of professional designations used by Financial Advisors.
* Provide consultation to Designated Supervisors, Financial Advisor, Branch Personnel and Home Office Personnel as requested.
* Provide back-up support to other Compliance team members as needed.
* Other duties as assigned.

**Professional Experience**

* 3-5+ years of experience in the financial services industry with advertising compliance experience preferred.
* Shown knowledge and understanding of applicable SEC and FINRA regulations for broker dealers, mutual funds, option strategies and investment advisors; familiarity with GIPS a plus.
* Series 7 and 24 FINRA registrations required.
* Institutional marketing review experience.
* Proven ability to manage internal client relationships and projects.
* Ability to master advertising review workflow system, run automated workflows and produce reports.
* Product knowledge of separately managed institutional accounts; asset allocation and alternative products, equity and fixed income mutual funds and ETFs.
* Compelling and effective at communicating, presenting, and building consensus on compliance issues across all levels within the organization.
* Experience reviewing Registered Investment Advisor advertising materials preferred.
* Experience reviewing content posted to social media websites, including attendant software and platforms preferred.
* Experience with Hearsay & Global Relay preferred.
* Bachelor's degree or equivalent required.
* Intermediate to advanced computer skills, including social media software, electronic workflow systems, Microsoft Word and Excel.

**Personal Attributes**

* Excellent interpersonal, written and verbal communication skills.
* Outstanding time management, organizational and follow-up skills to effectively plan and take tasks to completion within specified time frames.
* Ability to handle several tasks simultaneously, maintain focus and develop prioritization system to provide exceptional service levels in a dynamic environment.
* Scrupulous attention to detail and accuracy.
* Ability to operate within a risk-based model.
* Skillful at identifying and proactively resolving issues
* Ability to work under high pressure, exercise sound judgment in decision making, and adhere to strict deadlines.
* Customer service mentality with ability to collaborate with others.
* Ability to learn new systems and software.
* Excellent analytical, conceptual, and problem-solving skills.
* Willingness to take on projects, outside of regular scope of work, as assigned Chief Operating Officer.

For information about the company, please visit our website at [www.luxonfinancial.com](http://www.luxonfinancial.com) and to apply, send a cover letter and resume to [lstagg@luxonfinancial.com](mailto:lstagg@luxonfinancial.com).

All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, sexual orientation, gender identity, national origin, disability or veteran status.