

Position as Compliance Associate

We are looking to recruit a Compliance Associate for a Client company, based in Rochester, NY. Our Client is a full-service Broker Dealer Division of a larger group of companies which is dedicated to the provision of comprehensive financial planning, tax planning and wealth management services. At the same time, our Client is also a leading outsourcing company for financial planners and investment advisors. This company is a leader in its field, having won several awards and having been named as one of the Top 50 Independent Broker/Dealers by Investment Advisor Magazine in both 2006 and 2008.

The role is reporting to the President and Chief Compliance Officer of the company and the major duties and responsibilities are as follows:

Carrying out all Compliance processes;
Designing efficient systems and detecting violations;
Monitoring changes and challenges in the regulatory environment;
Interacting with regulators.

Our Client is looking for a team player who can at the same time operate in an independent manner. The ideal candidate is detail-oriented, has a high level of understanding of the regulatory regime and is able to work to specified time frames. Furthermore, the incumbent should enjoy working in an innovative environment, with state-of-the-art technology. He/she should possess a college degree.

Our Client is willing to offer a competitive remuneration package.

For more information on this role, please contact Gabriella Snoeck, Search Consultant with Global Recruiters of the Rockies, (1) 3035303835, extension 104 or email gsnoeck@grntherockies.com.