

## Compliance Analyst

Ancora is seeking a highly accountable and intuitive Compliance Analyst to support the Chief Compliance Officer in identifying and mitigating potential conflicts and risks to our organization. Ancora's Compliance Department strives to develop and maintain a culture of professional, ethical and responsible behavior through the cultivation of strong relationships across all teams. This role will be based out of Ancora's Cleveland office.

Ancora is a successful, growth-oriented, independent investment and financial advisory firm offering a competitive salary, excellent benefit package and culture of recognition. Join the Ancora family and become an integral part of a team.

### Primary Functions:

- > Review of written Equity and Market Research product for approval prior to external distribution.
- > Review of email correspondence, social media accounts and internal expense reports. Preparation of weekly report for CCO final review.
- > Review of account trades. Preparation of weekly report for CCO final review.
- > Review and approve personal trading requests and monitor exception reports.
- > Perform, analyze, interpret and document Internal Control tests.
- > Conduct vendor risk-assessment reviews.
- > Conduct reviews of client account files and other required FINRA files.
- > Assist with annual compliance reporting requirements.
- > Review FINRA notices and relevant industry news, follow up with CCO.
- > Develop, maintain and communicate internal policies and procedures.
- > On-going project management.
- > Prompt escalation of potential issues to CCO.
- > Develop and maintain positive working relationships with staff and peers.
- > Other duties as assigned to support the CCO and Broker Dealer.

### Minimum Qualifications:

- > 2 years relevant compliance, risk or internal audit experience preferred.
- > Critical thinking skills, high attention to detail and ability to maintain confidentiality.
- > High ethical standards.
- > High degree of accountability, intuition, confidence, initiative, accuracy, attention to detail and organizational skills.
- > Ability to effectively communicate to all levels of staff, both written and verbally.
- > Ability to multi-task and remain organized and focused in a high-paced environment.
- > Professional appearance and demeanor.
- > Team oriented.
- > Securities licenses, including principal licenses, a plus.

*Ancora is an Equal Opportunity Employer*

All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin, protected veteran status, disability, or any other basis protected by applicable law.



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