

Compliance & Legal Analyst

Ancora is seeking a highly accountable and intuitive Compliance & Legal Analyst to support the Chief Compliance Officer in identifying and mitigating potential conflicts and risks to our organization. Ancora strives to develop and maintain a culture of professional, ethical and responsible behavior through the cultivation of strong relationships across all teams.

Duties and Responsibilities:

At Ancora, we strive for excellence and we expect client relations and internal interactions to be reflective of our high standards. A positive attitude coupled with regulatory expertise and strong analytical skills are necessary to be successful in this role.

- > Partner with CCO to interpret and analyze regulatory compliance statutes
- > Evaluate business activities to ensure compliance with the latest federal and state regulatory guidelines and filing deadlines. Ensure appropriate documentation is completed
- > Implement regulatory risk initiatives including compilation, ongoing monitoring and updating of active initiatives including policies, procedures and practices.
- > Challenge internal policies and procedures to ensure appropriate execution of initiatives within and across business verticals and identified areas of risk. Assist in the development and dissemination (including training) of written training materials
- > Interact with multiple lines of business and/or external and internal partners, providing guidance regarding their role of monitoring the execution of regulatory requirements and the mitigation of legal risks and compliance issues
- > Escalate potentially high-risk issues to management when necessary
- > Assess third party vendors for adherence to standards
- > Perform a thorough review of private fund subscription documents and suggest revisions when appropriate. Assist with overall formation and administration of registered funds and private investment vehicles
- > Perform a thorough review of standard service provider agreements, NDAs, Secretary's Certificates and other legal documents
- > Perform registrations and other related tasks for Broker Dealer
- > Additional task may include but are not limited to; vendor management and certification, RFP/DDQ completion, various support to Mutual Funds, website monitoring, providing regulatory audit assistance, sweeps and communication, review of new product offerings and corporate governance
- > Provide ongoing support to Ancora's Compliance, Risk and Legal department as it relates to projects, assessments and subject matter research
- > Other duties and responsibilities as deemed necessary by the CCO

Qualifications:

- > Bachelor's degree in related field
- > Minimum three years of relevant legal, compliance, risk or internal audit experience

T 216-825-4000
F 216-825-4001

www.ancora.net

Ohio
Cleveland

Michigan
Detroit

Florida
Naples

- > Investment industry experience is required
- > Capability to draw upon your abilities and experience for high level analytical thinking and the ability to articulate complex thoughts to a diverse audience of non-subject matter experts
- > Effective interpersonal skills
- > Keen attention to detail
- > Ability to maintain a high degree of confidentiality
- > High ethical standards
- > High degree of accountability, intuition, confidence, initiative, accuracy, and excellent organizational skills
- > Ability to multi-task and remain organized and focused in a fast-paced environment
- > Professional appearance and demeanor
- > Team oriented

Location:

This position is located at Ancora's Cleveland, Ohio, office.

About Ancora:

Ancora is an established, successful, client-focused and growth-oriented independent investment and financial advisory firm based in Cleveland, Ohio. We offer a competitive salary, excellent benefit package and culture of teamwork and recognition.

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.

What Our Employees Say:

"I truly feel valued as an employee. I am part of a team in which everyone has each other's back."

"As an organization we try to be great, and I find that very motivating."

"Our leadership is always visible and engaging with everyone who works here. They make everyone feel like part of the success of our team."

