

Compliance Team Member

Ancora is seeking a highly accountable and diligent individual to support the critically important compliance initiatives of the firm, led by the Chief Compliance Officer and Chief Risk Officer. Ancora's Compliance and Risk teams strive to develop and maintain a culture of professional, ethical and responsible behavior. This role offers the ability to gain an enormous amount of knowledge about the Compliance, Risk and Legal functions within the investment industry. Only individuals looking to continually expand their knowledge, excel in their duties and advance within the Firm should apply.

Location

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

Duties and Responsibilities

At Ancora, we strive for excellence and we expect client relations and internal interactions to be reflective of our high standards. Meeting challenges head-on with the highest level of integrity and effort is a shared trait within the Compliance and Risk teams and is expected of all team members. These personality traits are particularly important due to the critical nature and sensitivity of the department.

- > Support Ancora's Compliance, Risk and Legal department as it relates to projects, assessments and areas requiring subject matter expertise such as interpreting regulatory compliance statutes and analyzing their impact on business practices
- > Evaluate and challenge internal policies, procedures and practices to ensure appropriate execution of initiatives within and across business verticals and identified areas of risk to ensure compliance with the latest federal and state laws and regulations
- > Support the revision and preparation of new and updated Compliance or Risk initiatives and assist in their dissemination and implementation
- > Provide guidance and create training initiatives for internal and/or external Firm partners regarding their role in mitigating Compliance, Risk and Legal issues
- > Maintain the firm's compliance and reporting system, evaluate business activities, review website and new product offerings, manage vendor certifications, assist with RFPs/DDQs, various support to mutual funds and corporate governance
- > Additional support on special projects and other tasks as deemed necessary

Qualifications

- > Minimum 3-years of relevant compliance, risk or internal audit experience with working knowledge of legal documents and contracts
- > Experience in investment (asset management, broker-dealer or private fund), risk or legal industries preferred
- > FINRA securities licensing and legal or advanced degree preferred
- > High ethical standards and ability to maintain confidentiality
- > Keen attention to detail and accuracy with accountability, intuition, confidence and initiative

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Ohio
Cleveland

Michigan
Detroit

Florida
Naples

- > High-level of analytical and critical thinking abilities, including ability to multi-task and remain organized and focused in a fast-paced environment
- > Team-oriented with effective interpersonal skills including ability to articulate complex thoughts to a diverse audience of non-subject matter experts
- > Professional appearance and demeanor

Benefits

Ancora offers a competitive salary and excellent benefit package with a culture of teamwork and recognition.

About Ancora

Ancora is a successful, client-focused and growth-oriented investment and financial advisory firm based in Cleveland, Ohio. The Firm is recognized for providing investment advisory, money management and retirement plan advisory services to individuals and institutions.

Ancora promotes a friendly, family-oriented work environment and encourages our employees to strive for personal and professional growth.

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.

Visit www.ancora.net for more information.

Apply

Apply online at www.ancora.net/careers or email careers@ancora.net.

