

Deputy Chief Compliance Officer

Ancora is seeking a highly accountable and diligent individual to support the firm's captive Broker-Dealer with a desire to grow into the Chief Compliance Officer role for the BD after an apprenticeship period.

The BD Chief Compliance Officer is a senior leadership role with ownership and accountability to lead and oversee the BD's programs, policies and practices for regulatory compliance and risk mitigation, which the Deputy CCO will support. The Deputy CCO will bring valuable expertise and strength in comprehension and communication of complex compliance matters in a direct and simple manner. The Deputy CCO must be confident and proactive to serve as an advisor to firm leadership as it relates to compliance activities and actions. In addition to overseeing the firm's BD, the individual will support the larger Compliance and Risk team by monitoring the insurance commodities and futures businesses. The individual will also support the firm's AML program and perform control testing where needed. 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 (Mayfield Heights), Ohio, office. Flexible or partially remote schedule will be considered once role is mastered.

Duties & 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.

- › Assist in the design, development, delivery and maintenance of the Broker-Dealer's Compliance program.
- › Update and synchronize the firm's written policies, procedures and documents such as Written Supervisory Procedures, organization charts or operational process documents.
- › Coordinate with the firm's registered representatives and third-party compliance vendors as needed to complete U4 and U5 filings.
- › Support Broker-Dealer ethics program, related employee trading activities, outside business activity tracking, political contributions tracking, etc.
- › Help draft and deliver the firm's compliance/WSP training materials and track registered representatives' regulatory and firm element training.
- › Participate in testing compliance procedures and performing mock audits as directed.
- › Help prepare and organize materials for internal/external annual audits, regulatory exams and due diligence reviews.
- › Assist with preparation and ensuring the timely and accurate filing of all regulatory reports.
- › Research applicable new rules or rule changes and implementing policies, procedures or other controls necessary to comply with the rules.

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

Ohio
Cleveland

Michigan
Detroit

Florida
Naples

Qualifications

- › Bachelor's degree in Business, Finance or related field required, Master's degree preferred
- › FINRA securities licensing 7 and 24 required, other licensing will be needed upon hire
- › Strong knowledge of financial products and services offered by a Broker-Dealer and insurance company
- › Several years of experience with a Broker-Dealer in the financial services industry
- › Strong knowledge of FINRA & U.S. securities laws and regulations
- › High ethical standards and ability to maintain confidentiality
- › Strong PC skills including Microsoft Office products
- › Keen attention to detail and accuracy with accountability, intuition, confidence and initiative
- › High-level of analytical and critical thinking abilities, including ability to multi-task and remain organized and focused in a fast-paced environment
- › Independently motivated and able to drive tasks to completion
- › 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 client-focused and growth-oriented investment and financial advisory firm based in Cleveland, Ohio. The Firm is recognized for providing investment advisory, money management, insurance 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 with the highest level of integrity.

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.

