

## Compliance Counsel

The Certified Financial Planner Board of Standards (“CFP Board”) - headquartered in Washington, D.C.-is the certifying body for financial planning professionals. It is a non-profit organization that fosters professional standards in personal financial planning through its setting and enforcement of the education, examination, experience, ethics, and other requirements for the CFP certification.

CFP Board seeks a highly motivated team player to serve as Compliance Counsel. This position conducts compliance investigations from intake, qualitative research and analysis, and through the adjudication of the possible misconduct under CFP Board’s *Standards of Professional Conduct*.

The ideal candidate will embrace open collaboration, possess intellectual curiosity and help the organization deliver results towards fulfilling our mission.

### Essential Functions

- Efficiently and effectively investigates, researches and analyzes alleged violations of CFP Board *Standards of Professional Conduct*
- Provides guidance to Compliance Analysts and other department personnel on the handling of investigations, including with respect to the same issues that arise in the Compliance Counsel’s investigations
- Identifies and expedites the investigation of targeted classes of investigations, such as financial planning cases or customer grievances
- Acts as an advocate on behalf of CFP Board in hearings before CFP Board’s Disciplinary and Ethics Commission
- Responds to emails and telephone calls requesting guidance with respect to compliance with and applicability of the *Standards of Professional Conduct*, as requested by the General Counsel.
- Collaborates with the Director of Investigations as to the handling of investigations, complaints, and requests for guidance
- Recommends procedures and policies that will assist in the efficiency of the department
- Assists the General Counsel with meetings of councils, commissions, and working groups charged with the responsibility of reviewing the Standards
- Provides legal research and writing support for issues pertaining to federal and state regulation of broker-dealers, registered investment advisers, insurance agents and other financial professionals
- Advises other CFP Board Departments regarding compliance and ethical issues as needed
- Conducts and oversees background checks for CFP Board volunteers and Board members
- Reviews CFP Board Continuing Education sponsor’s ethics program applications for alignment with *Standards*, in collaboration with CFP Board’s Continuing Education department
- Performs other duties as assigned

### **Background/Skills/Abilities Preferred**

- J.D. (Juris Doctorate) degree from an accredited law school
- Active status licensed attorney in any state; eligible to be admitted in the District of Columbia bar
- Minimum of three years' experience as an enforcement attorney presenting cases in administrative hearings or similar substantive legal practice experience desired
- Working knowledge of broker-dealer, investment adviser and insurance regulations desired
- Ability to prepare and present facts in a logical, clear and concise manner
- Exemplary written and oral communications skills
- Self-starter with strong motivation, proven results orientation and consistent track record
- Ability to quickly prioritize and meet critical deadlines
- Strong customer service focus and ability to effectively communicate with individuals under duress
- Proficiency with Microsoft Office

To apply, send your resume and one-page letter summarizing your interest, qualifications and salary expectations. Please reference the Compliance Counsel position in your cover letter. Email your application to [humanresources@cfpboard.org](mailto:humanresources@cfpboard.org), Attention: Director, Human Resources, CFP Board, 1425 K Street NW, Suite 800, Washington, DC 20005.

CFP Board believes that diversity of experience and perspective are strengths and seeks to continue to grow a highly committed, skilled and collaborative staff.