

Senior Compliance Analyst

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 Senior Compliance Analyst. This position investigates allegations of misconduct by CFP® professionals and those seeking to obtain CFP® certification under the guidelines of CFP Board’s *Standards of Professional Conduct*.

Essential Functions:

- In consultation with Compliance Counsel, efficiently and effectively investigates, researches, and analyzes alleged violations of CFP Board’s Standards of Professional Conduct
- Reviews allegations and determines whether to open an investigation
- Drafts requests for documents and information; communicates with respondents and third parties;
- Interviews respondents and witnesses; organizes and analyzes evidence
- Researches applicable statutes, rules and regulations; determines whether there is probable cause to believe that grounds for discipline exist
- Drafts complaints; researches applicable precedent; and recommends charges and sanctions.
- Provides guidance to other department personnel on the handling of investigations and complaints, including with respect to the same issues that arise in the Compliance Analyst’s assigned cases
- Responds to telephone calls requesting guidance with respect to compliance with and applicability of the Standards of Professional Conduct, as requested by the General Counsel
- Assists Compliance Counsel in organizing hearing documents (“DEC Books”) for presentation to the Disciplinary Ethics Commission
- Assists Compliance Counsel with hearing preparations, as requested
- Assists Compliance Counsel with background checks for CFP Board volunteers and Board members, as requested by the General Counsel
- Assists with enforcement projects and other initiatives as assigned by the General Counsel.
- Performs other duties as assigned

Background/Skills/Abilities Preferred

- Bachelor’s degree or equivalent related experience. Prefer an advance degree or certification in the fields of investigations, securities, finance, economics, accounting or related fields
- Working knowledge of broker-dealer, investment adviser and insurance regulations and/or industry desired
- Self-starter with strong motivation, proven results orientation and consistent track record
- Outstanding attention to detail and organizational skills

- Ability to quickly prioritize and meet critical deadlines
- Excellent written and verbal communication skills
- Ability to prepare and present facts in a logical, clear and concise manner
- Strong customer service focus and ability to effectively communicate with individuals under distress
- Proficiency with full suite of Microsoft Office applications

To apply, send your resume and one-page letter summarizing your interest, qualifications and salary expectations. Please reference the Senior Compliance Analyst position in your cover letter. Email your application to 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.