

Specialist, Enforcement

Essential Functions

- Works with Detection team to execute all detection functions of the organization, including background checks for candidates for CFP® Certification, CFP® professionals, and Professionals Eligible for Reinstatement; assists with conducting background checks for CFP Board volunteers and Board members.
- Maintain database of regulatory enforcement actions.
- Assist in the development and implementation of new detection processes.
- Commences the investigative process with the initial processing of new matters, including setting up electronic and hard-copy case files and entering information into databases.
- Manage early-stage case-related correspondence, including Notices of Investigation, requests for extensions, and initial responses.
- Conduct triage analysis for all investigation cases, closing cases that meet certain criteria and referring the remaining cases to the Investigations Team.
- Identify cases appropriate for summary proceedings (Interim Suspension, Administrative Order, Single Bankruptcy complaint) and shepherd through such proceedings.
- Serve as a point of contact for detection and disclosure-related issues for other departments in the organization.
- Performs other duties as assigned.

Background/Skills/Abilities Preferred

- A minimum of 3 years administrative or program support, or commensurate educational experience.
- Outstanding organizational skills and attention to detail.
- Ability to prioritize between competing assignments and quickly meet critical deadlines.
- Solid written and verbal communication skills.
- Positive, flexible, “can-do” attitude.
- Proficient knowledge of MS Office; database experience is a plus.
- Ability to safeguard confidentiality of sensitive data.
- Ability to work within approved guidelines and protocols.
- Capacity to thrive in a demanding, fast-paced, legal environment.

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

CERTIFIED FINANCIAL PLANNER BOARD OF STANDARDS, INC.

To apply, send your resume and one-page letter summarizing your interest, qualifications, and salary expectations. Please reference Specialist, Enforcement 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.