

## **Compliance Manager**

Lion Street Financial, LLC. (LSF): Austin, Texas

### **Job Description**

We are currently seeking a Compliance Manager to perform routine transactions, such as review and investigation of actions that trigger flags in various review systems. Conducts research and data gathering information from financial professionals. Will conduct annual financial professionals compliance interviews/audits, including inspection of business practices and physical location. Assists in training, education and tracking of financial professionals. Manages all required record retention. Provides support to the Chief Compliance Officer and assists with the supervision responsibilities of the sales supervisors.

This is a ground floor opportunity with a dynamic firm with experienced leadership. This position will report directly to the CCO. This role will be multi & cross functional to join a team building a differentiated model in the Financial Services industry. The following are the primary responsibilities for this role based in Austin, Texas:

- Responsible for the review of written and electronic correspondence
- Monitor policies and procedures for compliance and relevant regulation and industry best practices
- Develop BD training and education materials for the financial professionals
- Review home-office compliance with relevant BD regulations
- Reviews outside RIA contracts, disclosure documentation and marketing materials
- Monitor and review trading activity for LSF representatives outside brokerage accounts
- Assist the CCO with the resolution of disputes, regulatory audits, and customer complaints
- Branch inspections
- Exception reporting monitoring and review
- Work with the CCO in strategic planning
- Keep abreast of regulatory changes and updates
- Other duties as assigned
- Familiarity with Variable Annuity and Variable Life products
- Assist with FINRA licensing and registration including but not limited to; creating, modifying U-4, U-5 updates, reporting, etc.

### **Desired Skills and Experience**

The ideal candidate should possess over 2 years' experience in the FINRA and SEC regulated Broker-Dealer/RIA space with the requisite licenses. The ideal candidate will possess the following qualities and skills:

- In depth knowledge of FINRA Notice to Members 10-22 regarding a Broker-Dealer's responsibility to conduct Due Diligence on new products being offered by the Firm
- Thorough knowledge of Alternative Investments
- Committed to creating a professional environment that places a high value on, accountability, and teamwork
- Excellent interpersonal communication skills, both written and verbal
- Strong organizational skills with ability to prioritize activities
- Maintain a strong client focus and the desire to build relationships during each interaction
- Strong technical skills in the MS Office software suite (Word, Excel, PowerPoint, Outlook, etc.)
- Capable of handling multiple tasks and responsibilities
- Ability to work independently and take initiative while being part of a team
- Proven work ethic with a high level of integrity to build trust with our clients and colleagues
- Can get excited about joining a start-up team and contributing to the direction and growth of the company
- Experience with Pershing, LLC preferred

### **Educational/Licensing Requirements**

- College degree preferred
- Series 7, 24, 63 65/66
- Life Insurance License preferred
- Operational Experience preferred

### **Benefits:**

In exchange for your hard work and dedication, we offer:

- Competitive compensation package
- Medical, dental, vision and life insurance
- Voluntary disability
- Paid time off
- 401K with company match

We work to maintain the best possible environment for our employees, where people can learn and grow with the company. We strive to provide a collaborative, creative environment where each person feels encouraged to contribute to our processes, decisions, planning and culture.

### **Company Description**

Lion Street, Inc. is a privately held financial services distribution company based in Austin, Texas. Lion Street provides elite independent financial advisors, many of which have roots in the life insurance industry, access to the financial products, intellectual capital, and specialized resources they need to meet the sophisticated financial planning needs of their high-net-worth and corporate clients. The Broker-Dealer, Lion Street Financial, LLC and RIA, Lion Street Advisors, LLC are based in Austin, Texas. Founded in 2010, Lion Street is managed by a team of experienced industry veterans and is a portfolio company of Austin Ventures.

*NOTE: The information on this description has been designed to indicate the general nature and level of work performed by employees within this classification. It is not designed to contain or be interpreted as a comprehensive inventory of all duties, responsibilities and qualifications required of employees assigned to this job.*