



LION STREET®

Marketing Material Compliance Reviewer

Lion Street Financial (LSF)/Lion Street Advisors (LSA): Austin, Texas (or Remote)

Job Description and Duties

This role within the advertising review team is responsible for the review and approval of marketing material and communications for Lion Street Financial, Lion Street's Broker-Dealer, and Lion Street Advisors, the firm's Registered Investment Advisor. You will work closely with marketing, financial professionals, and business leaders to review communications, sales, and educational materials for internal, financial professional, and public audiences. You must have comprehensive knowledge of FINRA, SEC, and other state and federal regulations concerning marketing of financial products and services. You must be a good communicator and be able to build strong relationships with business partners and others.

The following are the primary responsibilities for this role based in Austin, Texas (or Remote):

- Review marketing materials, websites and social media for compliance with FINRA Rule 2210 and other applicable state and federal regulations
- Partner with internal marketing partners and independent financial professionals to help them achieve their business goals in compliance with applicable regulations
- Act as a subject matter expert regarding firm policies and state and federal regulations regarding advertising of financial services and products
- Lead implementation, communication and testing of SEC Advertising Rule
- Maintain and update related policies and procedures, including Written Supervisory Procedures (WSPs)
- Identify and lead organizational and process improvements to improve the team and the firm's marketing material review program
- Develop innovative and efficient approaches to reviewing new types of marketing materials, including social media marketing and multi-media marketing
- Collaborate with marketing, sales, and other business partners as materials are developed for major initiatives and product launches
- Stay current on regulatory developments and provide appropriate guidance and training to business partners, registered personnel and their staff
- Identify risk and develop remedial action plans
- Lead contact for responses to regulatory inquiries regarding marketing and advertising and all annual exam requests related to marketing material reviews
- Lead Transitioning firms with their implementation of Lion Street systems and processes used for marketing material and email reviews. This includes communication and training.
- Conduct email and other electronic communication reviews, escalating when necessary
- Assist with and/or lead other project work as assigned

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:

- Ability to manage dynamic, fast-paced, and time-sensitive workload
- Strong written and oral communication skills
- Self-starter with strong problem-solving skills
- Ability to work with others in a team environment
- Demonstrated ability to identify, recommend and implement process improvements
- Demonstrated strong relationship management skills with internal clients (e.g., senior management, peers and colleagues); proven ability to develop creative and collaborative approaches and solutions
- Strong interpersonal skills with a collaborative style
- Strong project management leadership skills including, ability to coordinate and balance multiple projects in a time-sensitive environment, under pressure, and meeting deadlines
- Finds common ground and can gain collaboration among senior/executive management, colleagues and peers; can influence outcomes without directing or commanding
- Proficiency with Microsoft Office Suite (Word, Excel, PowerPoint, Outlook)
- Proficiency with electronic review platforms, such FMG Suite, Red Oak, Marketing Pro
- Proficiency with electronic archiving platforms, such Global Relay and PageFreezer
- Successfully complete regulatory and job training requirements

Educational/Licensing Requirements

- College degree preferred
- 2-3+ years experience in compliance that directly aligns with the specific responsibilities for this position
- Series 7, 24

Benefits

- 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, an Integrity company, is a privately held financial services distribution company based in Austin, Texas. Lion Street provides elite independent financial advisors (LSA) and registered representatives (LSF) -- 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



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Austin, Texas. Founded in 2010, Lion Street was acquired by Integrity Marketing Group in January of 2022.

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.