

JOB DESCRIPTION



Date: September 2008
Company: Capital Markets Compliance®, LLC
Position: Associate Consultant / Consultant
Reports To: CEO, CFO, EVP (Depends on Experience)
Salary Range/Benefits: Depends on Experience and Job Knowledge 40K to 90K

<http://www.cmcompliance.com>

Company Overview:

The consulting staff of **Capital Markets Compliance®**, LLC specializes in providing regulatory guidance for firms participating in all areas of the capital markets. Our clients are involved in the full spectrum of the financial services industry: brokerage, investment advisory, banking, insurance, commodities, futures, and pooled investment vehicles (hedge funds, venture capital funds, private equity).

Our senior consultants have worked for FINRA, State Securities Division, and the Federal Reserve Bank. This regulatory experience represents the bedrock foundation of a core base of knowledge and experience that has allowed us to continually strengthen and expand our suite of service offerings to accommodate virtually any type and size of market participant in the financial services industry.

We are seeking professionals with regulatory or compliance backgrounds in any of the capital market segments to join our consultants and our support staff in an effort to help our company continue its extraordinary growth pattern. We have positions open across several of our internal divisions. Those divisions are as follows.

- Broker-Dealer
- Investment Adviser
- Alternative Investments (pooled investment vehicles, commodities, futures)
- Accounting
- Insurance Licensing
- Banking

Functions:

- Research various regulatory requirements (state, federal, SRO, exchange, etc.)
- Create and review disclosure documents and client agreements
- Prepare state and federal regulatory applications
- Interface with regulatory bodies during application process
- Update and maintain proprietary database of client and regulatory information
- Perform research for and provide project-related assistance to senior consulting staff and executive management
- Service and manage prospective and existing client relationships
- Devise and prepare proposals for refining current departmental processes
- Prepare and present productivity reports/analyses to management

Desired Background of Candidates:

- Financial services industry experience: regulatory, compliance, accounting, or auditing experience
- CRD/IARD form (i.e. Form BD, ADV, U4, U5, etc.) filing and amendments
- NFA Online Registration System experience
- 1 year of RIA, BD, or futures/commodities compliance experience
- Regulatory experience

Desired Education/Qualifications of Candidates:

- 4 year bachelor's degree in business-related field
- Current securities and/or futures licenses/examinations

- CFA, CFP, CPA, or other applicable professional or academic designations or achievements
- Other related training will be taken under consideration

This position requires basic compliance/regulatory knowledge of the securities and/or futures/commodities markets. Candidates for this position must possess excellent written and communication skills. Creative, analytical thinking and attention to detail would allow an individual to excel in this position. Our office environment is fast-paced and demands teamwork and mental flexibility and stamina. Organizational and scheduling/time management skills are critical for these positions.

BENEFITS

Cafeteria Plan

CMC sponsors an employee benefit program known as a "Flexible Benefits Plan" (the "Plan") for employees. Under federal tax laws, it is also known as a "cafeteria plan". It is so called because it lets you choose from several different insurance and fringe benefit programs according to your individual needs. CMC provides you with the opportunity to use pre-tax dollars to pay for them by entering into a salary redirection arrangement instead of receiving a corresponding amount of your regular pay. This arrangement helps you because the benefits you elect are nontaxable; you save social security and income taxes on the amount of your salary redirection.

Medical Coverage

CMC offers access to health care for the employee through Kaiser Permanente. Our plan is the Added Choice/Point-of-Service (POS). <http://www.kaiserpermanente.org/>

Flexible Benefits Products

CMC offers access to Dental, Vision, Life, Accident, and other products offered through AFLAC (<http://www.aflac.com>).

Flexible Spending Account Medical and Dependent Care (Pre-Tax Advantage Plan)

CMC offers access to receive income tax-free reimbursement for some or all of the employee unreimbursed "Eligible Medical Expenses" under the Medical Care Reimbursement Plan ("URM") and/or some or all of the employee work-related Dependent care expenses under the Dependent Care Reimbursement Plan ("DCC"). Under the URM and DDC, you purchase a specific level of reimbursement benefits and you provide a source of pre-tax funds to reimburse yourself for your Eligible Expenses.

401(k) Plan

CMC offers access to participate in CMC's retirement trust 401(k) plan which include pre-tax contributions and after tax contributions to fund tax-free retirement income (Roth 401k). The plan also includes a discretionary CMC matching of participant contributions.

Holidays

CMC observes Ten (10) paid holidays:

Martin Luther King Jr. Day · Washington's Birthday · Good Friday · Memorial Day · Independence Day · Labor Day · Thanksgiving Day · Friday after Thanksgiving · Christmas Day · New Year's Day.

Paid Time Off (PTO)

Our policy provides time for compensated absences. PTO absences can be used for sick or vacation time. PTO days ranges from 10 to 22 days depending on job position.