



Date: September 2008
Company: Capital Markets Compliance® LLC
Position: Senior Managing Accountant
Reports To: Chief Operations Officer
Salary Range/Benefits: 50k to 90k (Depends on Experience) <http://www.cmcompliance.com>

Company Overview:

The consulting staff of **Capital Markets Compliance®, LLC** (CMC) 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).

DESCRIPTION OF PRIMARY DUTIES:

Assist the Accounting Consulting Department with the reviewing/auditing of financial statements prepared by CMC in accordance with Generally Accepted Accounting Principles and FINRA/SEC Regulations for Broker/Dealer clients.

- Reviewing/Auditing the preparation and electronic filing of monthly regulatory financial reports for FINRA Member Broker-Dealers. This includes reviewing/auditing financial statements, supporting schedules, and regulatory reports.
- Work with clients and auditors to solve [FINRA](#) and SEC compliance related issues relating to Books and Records.
- Review CMC client's books and records to make sure that the books and records are in compliance with FINRA/SEC Regulations. Travel may be required to perform this function.

DESCRIPTION OF OTHER DUTIES :

- Create and implement an audit plan for reviewing/auditing the financial statements prepared by CMC on behalf of their clients.
- Create and implement an audit plan to be able to review CMC client's books and records.

Perform other work-related tasks as deemed necessary by management

WORKING HOURS/SCHEDULE:

- Expected working hours are 9 a.m. to 6 p.m. Eastern Time, however, two to three weeks prior to the financial statements due date, longer hours and weekend hours are expected. Also late hours are expected when regulatory issues need to be resolved for clients.
- Each working day includes a 1 hour lunch break
- Expected working days are Monday through Friday (certain market holidays may be granted)

KNOWLEDGE AND SKILLS:

- 4 year bachelor's degree in the accounting field
- CFA, CFP, CPA, or other applicable professional or academic designations or achievements
- Excellent oral / written communication skills
- Computer software/programs: Microsoft Office Suite

Other preferred knowledge and skills:

- Knowledge of FINRA and SEC rules and regulation
- Audit / work monitoring skills
- Peachtree Accounting Software

- QuickBooks Accounting Software

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.