



Date: September 2008  
Company: Capital Markets Compliance® LLC  
Position: Assistant Staff Accountant  
Reports To: Chief Operations Officer  
Salary Range/Benefits: 35k to 50k, plus benefits

<http://www.cmcompliance.com>

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### **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 preparation of financial statements in accordance with Generally Accepted Accounting Principles and [FINRA](#)/SEC Regulations for Broker/Dealer clients.**

- Preparation and electronic filing of monthly regulatory financial reports for FINRA Member Broker-Dealers. This includes entering data into Quickbooks/Peachtree i.e., checks, payables, payroll, and journal entries. Reconciling bank accounts, and clearing firm statements.
- Work with clients to solve FINRA and SEC compliance related issues relating to Books and Records.

### **DESCRIPTION OF OTHER DUTIES :**

- FINRA Web FOCUS/Web CRD (with successful completion of proper training)
  - Data input and review for FINRA Web FOCUS filing
  - Submission of firm approved filings (initial or amendments)
- 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.