

Job Title	Retirement & Investment Services Compliance Manager (Job Location: Atlanta, GA)
Short Description	Reporting directly to the AVP, Retirement & Investment Services, the Compliance Manager is responsible for ensuring divisional adherence to internal, state and federal regulations, policies and procedures, and to work in partnership with the LPL Financial Home Office of Supervisory Jurisdiction. The Compliance Manager develops and executes strategy to utilize data analytics to identify greatest risks, coordinate audit focus, and deploy resources in a prudent manner. The Compliance Manager incorporates data-driven, rigorous policies and procedures of ethical market conduct to provide oversight and management of risks across the department. The Compliance Manager will actively monitor evolving changes in the regulatory, compliance, and technology landscape. They oversee the IRA, Trust/Estate and Retirement & Investment Services division audit and quality assurance teams responsible for adhering to the department audit plan, including the Medallion Signature Guarantee audit program. Foster and promote a safety-conscious and hostile-free work environment resulting in employee safety and well-being.
Full Description	Reporting directly to the AVP, Retirement & Investment Services, the Compliance Manager is responsible for ensuring divisional adherence to internal, state and federal regulations, policies and procedures, and to work in partnership with the LPL Financial Home Office of Supervisory Jurisdiction. The Compliance Manager develops and executes strategy to utilize data analytics to identify greatest risks, coordinate audit focus, and deploy resources in a prudent manner. The Compliance Manager incorporates data-driven, rigorous policies and procedures of ethical market conduct to provide oversight and management of risks across the department. The Compliance Manager will actively monitor evolving changes in the regulatory, compliance, and technology landscape. They oversee the IRA, Trust/Estate and Retirement & Investment Services division audit and quality assurance teams responsible for adhering to the department audit plan, including the Medallion Signature Guarantee audit program. Foster and promote a safety-conscious and hostile-free work environment resulting in employee safety and well-being. Essential Functions: • Proactive in monitoring and communicating emerging compliance and regulatory trends and consequences to team, department, and management. • Mentor team, overseeing professional development and providing tailored coaching to achieve top metrics and high-quality assurance standards. • Oversee internal compliance training, documenting and maintaining customer complaints, advisor and agency licensing and registration maintenance. • Manage division’s compliance with annual required minimum distributions

and the annual advisory review submissions. • Capture and communicate audit and quality assurance results to VP, Retirement & Investment Services and credit union management as warranted and track corrective action to make sure interdepartmental owner implements requirement. • Assess departmental quality assurance processes and make recommendations for incorporation of compliance and quality assurance elements in existing programs. • Recognize and communicate compliance deficiencies, risk, data irregularities, and patterns of behavior to AVP, Retirement & Investment Services. • Translate leadership needs into project tasks and deliverables, manage day-to-day problem-solving and team analytical activities. • Audit all compliance submissions for the division to LPL Financial on a monthly basis. • Act as our Business Continuity Plan administrator. Other • This description reflects management's assignment of essential functions. It does not prescribe or restrict the tasks that may be assigned. • This job description is subject to change at any time. Required Minimum Qualifications: •High School Diploma or equivalent •FINRA SIE, Series 7, Series 66 and 24 securities licenses along with Variable Products and Life, Accident and Sickness insurance licenses •If a candidate does not hold their Series 66 license when hired, they must obtain their FINRA securities license Series 66 within 120 days of onboarding •7+ years' operating in a wealth management firm or financial institution •Strong leadership, problem solving, analytical, mathematical, organizational management, and decision-making skills •Proficiency developing action plans and communicating these plans to team and leadership •Exceptional oral and written communication skills and ability to present and defend difficult positions to diverse audiences •Proven ability to establish and maintain strong, effective working relationships with direct reports, department leadership, and credit union Management •Experience escalating potential regulatory and statutory compliance risks to Management •Continuous improvement mindset •Strong technology acumen •Complies with all Credit Union policies and procedures including those related to Bank Secrecy Act regulations Internal Candidates Only: •Must be performing satisfactorily in current position. Preferred Qualifications: •Bachelor's degree in business or related field •Financial institution experience •Advanced knowledge of Microsoft Office, Salesforce, Symitar, AVAYA Workforce Engagement Select and research skills •AIF® and/or CFP® designations •Clean U-4

Education	HS Diploma. Bachelor's degree preferred
Additional Comments	This is an in-office position with some remote work option. Job Location: Atlanta, GA
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State	Georgia

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Contact Name-Last	Fisher
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Expiration Date	01/17/2024