

## **Company: PJ SOLOMON**

### **Job Title: Chief Compliance Officer**

#### **JOB DESCRIPTION:**

The role of the PJ SOLOMON Compliance Department is to ensure that the Firm and its employees conduct business in accordance with (i) federal and state laws and various rules and regulations (in particular, FINRA rules and the rules and regulations of the Securities and Exchange Commission), (ii) PJ SOLOMON internal policies and (iii) industry best practices, all in coordination with the Natixis CIB Americas Compliance Department. The PJ SOLOMON Compliance Department will provide advice and guidance to all PJ SOLOMON employees. Such advice includes, but is not limited to, insider trading and conflicts, as well as anti-money laundering and government sanctions. PJ SOLOMON Compliance also works with Natixis' US entities.

#### **Main Responsibilities**

The Chief Compliance Officer reports on a daily basis to the Chief Operating Officer of PJ SOLOMON and has a secondary reporting line to the Natixis Americas CIB Chief Compliance Officer. The Compliance Officer will work closely with the Natixis CIB Americas Compliance Department.

The Compliance Officer's role will include, but will not be limited to, the following responsibilities:

- Develop an understanding of the PJ SOLOMON business lines and the related compliance issues and provide advice to the business on a variety of issues;
- Coordinate with Natixis CIB Americas Compliance with respect to certain conflicts issues, including but not limited to:
  - Pre-deal conflicts checks, conflict mitigation (such as “treeing”) and information barrier procedures;
  - Management of PJ SOLOMON Watch and Restricted Lists, and assistance with Natixis wall crossings, as needed;
- Provide compliance coverage for all other conflicts of interest, including employee trading, outside business interests, gifts and entertainment (including providing certain pre-approvals and conducting certain surveillance for each);
- Analyze relevant laws and regulation and determine applicability to the business, in coordination with Natixis CIB Americas Compliance or counsel, as needed;
- Manage broker dealer registration, continuing education (“regulatory element”), and filing requirements for the PJ SOLOMON broker dealer and its registered representatives;
- Draft, update and implement PJ SOLOMON policies and procedures (e.g. WSPs), as needed;
- Develop and provide appropriate Compliance training for all employees in accordance with a Needs Analysis and Training Plan (and track/follow up on registered rep attendance);
- Handle regulatory reviews and inquiries and coordinate responses with Natixis CIB Americas Compliance, as needed;
- Manage NY and Houston office inspections (Offices of Supervisory Jurisdiction);
- Conduct an annual broker dealer review and report and handle the annual CEO certification, all in accordance with FINRA rules;
- Assist Natixis Americas AML Compliance with onboarding and vetting of PJ SOLOMON clients in accordance with Natixis’ AML Program;
- Ensure the maintenance and updating (as necessary) of PJ SOLOMON’s Volcker program, in coordination with Natixis CIB Americas Compliance;
- Maintain and upgrade, as necessary, PJ SOLOMON vendor management, outsourcing, BCP, InfoSec and other related processes, in coordination with Natixis CIB Americas’s processes;
- Provide guidance with respect the Firm’s supervision framework,
- Conduct email communication reviews, in accordance with PJ SOLOMON policy;
- Manage any customer complaints;
- Provide Natixis Americas Compliance with information necessary to complete Natixis’ annual Compliance Risk Assessment;
- Manage any BPCE or other internal Natixis audits in coordination with the Natixis CIB Americas Compliance Department;
- Ensure the creation of a first level of control and the execution of a second level of control for required

compliance processes.

- Develop, update and collect Annual Employee Attestations;
- Work with the Natixis CIB Americas Compliance Department to ensure coordination of all relevant compliance processes, as such Natixis processes are implemented, upgraded or otherwise changed; and
- Lead regulatory and other key projects as required.

## **REQUIREMENTS**

- 6 or more years of Compliance or other relevant working experience recommended;
- Compliance experience in a banking/broker dealer environment helpful;
- Basic knowledge of FINRA rules and SEC regulation helpful;
- BA degree or experience in finance/banking preferred;
- Demonstrated ability to work with various departments and to coordinate projects efficiently;
- Ability to work effectively in a team environment; and
- Ability to work independently while understanding when to involve other groups or team members.

## **TO APPLY**

Please send your cover letter and resume to Raine Mackey at [rmackey@pjsolomon.com](mailto:rmackey@pjsolomon.com)