



Example of Principal Advisor Job Description

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Our growing company is looking for a principal advisor. We appreciate you taking the time to review the list of qualifications and to apply for the position. If you don't fill all of the qualifications, you may still be considered depending on your level of experience.

Responsibilities for principal advisor

- Ability to prioritize and handle numerous competing demands in a high-volume, fast-paced work environment with frequent urgent deadlines
- Should possess professionalism, sound judgement, and strong interpersonal skills
- Advise lines of business and Advisory in the development and maintenance of the Compliance Program, such as how to monitor, report, and train
- Support the evaluation of Internal Audit, Regulatory Exam, and self-identified issues and events for compliance impacts
- Support lines of business and Advisory through advice, influence adjustments to the processes, procedures, and controls
- Engineers and designs network solutions for compatibility and integration of products/services in order to ensure an integrated communications platform across interdependent technologies and applications
- Assisting with the planning, managing and monitoring of the pre-construction phase and coordinating matters relating to health and safety during the pre-construction phase
- Preparation of reports, statutory notices, Health and Safety Files and other documentation
- Design team meetings
- Client Progress meetings

Qualifications for principal advisor

- Working knowledge of FINRA/NASD rules and regulations, and the Securities Act of 1933 and the Exchange Act of 1934
- Ability to work effectively on multiple tasks in a dynamic and fast-paced environment
- Ability to be an active participant of a highly motivated team
- At least 3 years of experience working in a compliance role for a broker-dealer, or at least 3 years' compliance experience working for an investment adviser, or at least 3 years of compliance experience working for a securities regulator (FINRA/SEC)
- 5 years of supervision, or 5 years of compliance, or 5 years of surveillance experience in the securities industry
- FINRA Series 7, or Series 24, or Series 63/65 licenses