

## **Manager, Registration, Disclosure and Qualifications**

### **Position Description**

Summary of Position: The North American Securities Administrators Association (NASAA), a prominent Washington D.C. association devoted to supporting the work of state and provincial securities regulators, is seeking to hire a compliance management professional to support NASAA's work as a stakeholder in the operations of the Central Registration Depository ("CRD") and the Investment Adviser Registration Depository ("IARD"); the owner of the NASAA Series 63, 65, and 66 examinations; and additional NASAA compliance and regulatory initiatives including its work in investment adviser representative continuing education. A successful candidate will have a strong background in state securities regulation, with a focus on registration. He or she will also have a positive attitude; the ability to work with professionals with a variety of backgrounds (lawyers, information technology, technology and operations, software developers, state regulators, project managers, association professionals); a strong commitment to investor protection; and a desire to work in an association environment. Responsibilities will focus on serving as a subject matter expert on areas related to the registration of securities, industry firms and securities professionals, as well as providing project management on workstreams related to various systems. This position reports to the General Counsel. NASAA offers a competitive compensation package, including full medical and dental benefits; disability insurance; life insurance; and retirement fund options.

**The responsibilities of the Manager, Registration, Disclosure and Qualifications will include the following:**

- Support the work of NASAA and its members in the areas related to the use of the CRD; and IARD, including serving as a subject matter expert resource to state regulators who are users of these systems.
- Assist NASAA and its members in the development of forms, policies and procedures relevant to the registration of broker-dealers, agents, investment advisers, and investment adviser representatives.
- Provide project management and subject matter expertise supporting NASAA's role in the CRD and IARD, including serving as a primary point of contact in the NASAA relationship with the Financial Industry Regulatory Authority ("FINRA"); act as lead in developing a list of state software improvements for prioritization by applicable NASAA committees (see below) and provide these prioritized requirements to FINRA for implementation as part of the CRD updates.
- Provide project management and subject matter expertise supporting the work of the Investment Adviser Representative Continuing Education initiative.
- Serve as a primary point of contact to manage outside vendor and stakeholder relationships related to CRD, IARD, NASAA examinations and other NASAA regulatory initiatives.
- Provide support, in conjunction with NASAA legal staff, to the following Committees: CRD/IARD Steering; CRD/IARD Forms; NASAA Investment Adviser Representative Continuing Education; NASAA Exams Advisory; and other related committees and project groups.
- Provide project management and subject matter expertise for the operations and development of the NASAA 63/65/66 exams. Respond to inquiries from the Association's members and from the public regarding these exams and other relevant initiatives.
- Other tasks related to project management, systems, depositories, databases, or other legal and compliance issues where the candidate's skills are applicable.

**Qualifications for Position:**

- Undergraduate bachelor's level degree in business, with an emphasis on management and/or accounting coursework.
- A minimum of five years professional experience, preferably including supervisory experience, with a state securities regulatory agency or a federal regulator or self-regulatory organization.
- Strong fluency in registration and disclosure.
- Experience with compliance and/or registration systems.
- A strong interest in investor protection and securities regulation.
- Strong analytical and writing skills.
- Positive attitude and an ability to work as a team member.
- Strong technical and interpersonal management skills and ability to motivate.
- Attention to detail and adaptability to varied work assignments.

**To apply:** submit cover letter, resume, and references to [hr@nasaa.org](mailto:hr@nasaa.org). A short writing test will be part of the interview process. References will not be contacted without prior notice to you.

NASAA is an equal opportunity employer and does not discriminate in hiring or employment on the basis of race, color, religion, national origin, citizenship status, age, disability, sex, veteran status or any other characteristic protected by applicable federal, state or local laws, regulations or ordinances. We are committed to diversity in the workplace and promote a drug-free environment.