

DIRECTOR II, ROCKVILLE MD.

FINRA, created through the consolidation of NASD (National Association of Securities Dealers) and the member regulation, enforcement, and arbitration functions of the New York Stock Exchange, is currently seeking talented individuals for our opening for a Director II in our Rockville, MD location. The Financial Industry Regulatory Authority (FINRA) is the largest non-governmental regulator for all securities firms doing business in the United States and is dedicated to investor protection and market integrity through effective and efficient regulation and complementary compliance and technology-based services.

Major Purpose of Job:

The individual in this position has responsibility and authority for the Operations unit in the Testing & Continuing Education department, with specific responsibility for unit oversight, financial and operational planning, coordinating among operational units, performance monitoring, and technical direction. The Operations unit provides support to a variety of internal and external system users. This individual is responsible for the execution and monitoring of contractual aspects related to testing and continuing education delivery via external test delivery vendors. Responsibilities also include, managing the relationship and contractual obligations between FINRA and its clients of testing services, including system functionality in support of item and test authoring, item performance evaluation, test generation, and delivery. Additionally, this person coordinates testing service related activities with other Self Regulatory Organizations (SRO) (e.g., SEC, MSRB, NFA, NASAA, etc.).

Essential Job Functions:

- Responsible for the management oversight of the T&CE Operations unit. Determine efficiency of current policies and drive modifications in response to changes within the testing and securities industries, technology (internal and external systems), and contractual obligations.
- Coordinate with the departmental management team in the development and implementation of strategic planning.
- Provide technical direction on systems requirements, development, implementation and functionality, actively participate in requirements and acceptance phases, and provide direction to technical support personnel.
- Responsible for financial, salary, incentive compensation and budgetary planning and implementation. Responsible for monitoring and analysis of budgets, delivery volume, quality of delivery services and systems performance.
- Responsible for approval, implementation, and monitoring of capital spending plans.
- Assist in the establishment of standards and performance measures and the implementation and monitoring of those measures.
- Facilitate communications with SRO's, clients, technical vendors, and FINRA departmental personnel.
- Represent FINRA at external meetings with clients, regulators, and committees relating to policy, system and or content development, and or general FINRA business.
- Prepares, assigns and participates and/or supervises preparation of special reports or projects in response to corporate initiatives or inquiries from executive management. Implements operational and technical systems that improve departmental performance.

- Oversees or prepares professional quality reports. Works with departmental management team to ensure efficient administration of the department and the testing/CE related processes.

Education/Experience Requirements:

Bachelor's degree plus 10 years of related business experience in a regulatory environment or the equivalent combination of education and experience. Master's degree preferred. Requires excellent interpersonal, organizational and communications/writing skills and substantial project and contract management, supervision, and quality assurance experience. Preference given to candidates with operational experience in the testing industry and technical aspects of computerized delivery of testing and continuing education assessment programs expertise in developing the requirements for software systems.

Working Conditions:

Standard office with travel as necessary (normally less than 20%). The ability to work under tight

timelines across organizational boundaries. Must be proficient with all standard office software. The information provided above has been designed to indicate the general nature and level of work of the position. It is not a comprehensive inventory of all duties, responsibilities and qualifications required.

In addition to a competitive salary, comprehensive health & welfare benefits, and an incentive bonus, FINRA offers immediate participation and vesting in a 401(k) with company match; a company funded pension plan; tuition reimbursement and many other benefits. If you would like to contribute to our important mission and work collegially in a professional organization that values intelligence, integrity and initiative, consider a career with FINRA.

ABOUT FINRA:

A new single SRO [Self Regulatory Organization] for the U.S. Securities Industry was created with the joining of NASD and NYSE Regulation, Inc. in July 2007. This new SRO is the largest self-regulatory organization for securities brokers and dealers in the world. FINRA streamlines regulation by eliminating dual-regulation that existed for 200 of the largest securities firms in the U.S. Come join us as we become a modern regulator by focusing our efforts not just on enforcement of rules, but on forward thinking activities such as member education, investor education, compliance training for industry firms and increased collaboration with other U.S. and International Regulatory bodies.

FINRA is the largest non-governmental regulator for all securities firms doing business in the United States. All told, FINRA oversees nearly 5,100 brokerage firms, about 173,000 branch offices and more than 665,000 registered securities representatives. FINRA touches virtually every aspect of the securities business - from registering and educating all industry participants, to examining securities firms, enforcing both FINRA rules and the federal securities laws, and administering the largest dispute resolution forum for investors and member firms. FINRA is dedicated to investor protection and market integrity through effective and efficient regulation and complementary compliance and technology-based services.