



Trust Compliance Officer / Director of Financial Planning

POSITION TITLE: TRUST COMPLIANCE OFFICER/DIRECTOR OF FINANCIAL PLANNING
REPORTS TO: TRUST COUNSEL
POSITION STATUS: EXEMPT
GRADE LEVEL: VP

GENERAL DESCRIPTION:

The role is to oversee the Compliance and Risk Management Processes within the department. Oversee Risk Management, Compliance Management, Account Review Oversight, Account Acceptance, and Implementation and Management of the Financial Planning Program for the Department.

Essential Duties and Responsibilities:

- Primary responsibility for Departments compliance with applicable laws and regulations.
- Primary responsibility for maintenance of Trust policies & procedures.
- Lead role in the trust examinations & liaison with Trust Regulators.
- Liaison between Trust Department and the Organization's audit, compliance, and risk management functions.
- Oversee the new Account Review Process / and manage Trust Committee agenda and materials.
- Participate as a member of Trust Committee, Trust Officer Committee, and Privacy Committee.
- Manage / Oversee the account review process (Reg 9 Review Process) including the ongoing assessment of Account Level Risks.
- Oversee the forms management process.
- Oversee department responsibilities for Vendor Management.
- Responsible for management of Department Financial Planning Process including creation and presentation of financial plans, review and consultation with regard to financial planning technology and overall program.
- Participates in Managing Trust Budget.
- Resource for Trust staff and other managers relating to Fiduciary questions.
- Maintain current understanding of regulations as they relate to Fiduciary and Compliance Issues and educate the team regarding the same.
- Maintain current understanding of regulations as they relate to Fiduciary and Investment Issues.
- Represent the Organization by being active in the community. Actively participate in service organizations, community activities, etc. to promote a positive organization image and to generate leads for the new business efforts.

Accountability:

Oversight of Investment Services Functions as Vice-Chair of the Investment Services Committee. This person will be accountable for the regulatory and audit ratings for the organization. Reporting Risk Factors from the business operation to management is a primary accountability.

QUALIFICATIONS:

°General Attributes

1. Organizing & Planning
2. Job Knowledge
3. Industry Knowledge
4. Problem Solving & Decision Making
5. Skillful at Written Communications
6. High level of Organizational Skill
7. Strong Interpersonal Skills
8. Ability to maintain a positive & professional work environment

°Specific Requirements for Position

- Knowledge of Trust Estate Planning & Administration and the regulatory requirements of Trust Departments.
- Strong knowledge of Fiduciary Law.
- Bachelor's Degree in business or finance. (JD preferred)
- CFP Designation (Candidate may be in the process of completing the requirements to secure the CFP designation)