

Associate Principal Regulatory Training Specialist, Enforcement-2

The Associate Principal Regulatory Training Specialist is responsible for designing, developing, and delivering learning solutions to FINRA Enforcement staff. This position will have advanced technical skills in the area of adult learning. This position will also work with peer training specialists on the Enforcement Training Team in ensuring the department is delivering high-quality learning solutions that support FINRA's mission of protecting investors and safeguarding market integrity in a manner that facilitates vibrant capital markets.

Essential Job Functions:

- Design and deliver learning solutions, especially in support of software/applications, in accordance with adult-learning principles, as identified through Enforcement programs, roadmaps, and priorities.
- Apply proficiency in multiple delivery methodologies (synchronous in-classroom and virtual and asynchronous).
- Design and deliver learning solutions to support important training initiatives requiring substantial business knowledge, including the Enforcement Digital Transformation, by partnering with Enforcement and FINRA subject matter experts and technology partners.
- Manage courses to further the established curriculum, as required and directed, ensuring it meets the current needs of FINRA Enforcement staff.
- Provide guidance on the strategic direction for curriculum design to manager, ensuring learning objectives and delivery methods are appropriate for the topics and audience.
- Ensure high level of quality of delivered solutions by evaluating against industry best practices and internal quality standards.
- Create high-quality elearning and live, instructor-led training, supported by thorough training needs assessments, instructional design plans, elearning storyboards, instructor/facilitator guides, presentation materials (PPTs), job aids, user guides, assessments/surveys, WalkMe solutions, etc.

Other Responsibilities:

The Associate Principal Regulatory Training Specialist will need to work with minimal direct supervision and must be able to balance competing needs for time and resources. Ability to communicate and interact at both senior and junior levels of the organization is critical. Ideal candidate will embrace the opportunity to think creatively about training solutions.

Education/Experience Requirements:

- Undergraduate degree, or higher, in a business field such as accounting, finance, training, organizational development, or the equivalent.
- Minimum of five (5) years of directly related training industry experience in positions of increasing responsibilities.
- Minimum of two (2) years of FINRA or financial industry experience strongly preferred.

- Knowledge of securities industry rules, regulations, and guidelines and/or directly related securities industry experience is required.
- Competence using eLearning development tools (Articulate Storyline, Adobe Captivate, etc.) preferred.
- Knowledge of personal computers and associated office automation tools.
- Excellent communication and writing skills.
- Ability to communicate and interact at both senior and junior levels of the organization.

Work Conditions:

- Normal office environment.
- Extended hours will be required on a regular basis.

To be considered for this position, please submit an application.

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.

Please note: If the “Apply Now” button on a job board posting does not take you directly to the FINRA Careers site, enter www.finra.org/careers into your browser to reach our site directly.

FINRA strives to make our career site accessible to all users. If you need a disability-related accommodation for completing the application process, please contact FINRA’s accommodation help line at 240.386.4865. Please note that this number is exclusively for inquiries regarding application accommodations.

Employees may be eligible for a discretionary bonus in addition to base pay. FINRA also provides a variety of benefits including comprehensive health and welfare benefits, life and disability insurance, paid holidays, vacation, personal, and sick leave. FINRA offers immediate participation and vesting in a 401(k) plan with company match. You will also be eligible for participation in an additional FINRA-funded retirement contribution, our tuition reimbursement program 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.

Important Information

FINRA’s Code of Conduct imposes restrictions on employees’ investments and requires financial disclosures that are uniquely related to our role as a securities regulator. FINRA employees are required to disclose to FINRA all brokerage accounts that they maintain, and those in which they control trading or have a financial interest (including any trust account of which they are a trustee or beneficiary and all accounts of a spouse, domestic partner or minor child who lives with the employee) and to authorize their broker-dealers to provide FINRA with duplicate statements for all of those accounts. **All of those accounts are subject to the Code’s investment and securities account restrictions, and new employees must comply with those investment restrictions—including disposing of any security issued by a company on**

FINRA’s Prohibited Company List or obtaining a written waiver from their Executive Vice President—by the date they begin employment with FINRA. Employees may only maintain securities accounts that must be disclosed to FINRA at one or more securities firms that provide an electronic feed (e-feed) of data to FINRA, and must move securities accounts from other securities firms to a firm that provides an e-feed within three months of beginning employment.

You can read more about these restrictions [here](#).

As standard practice, employees must also execute FINRA’s Employee Confidentiality and Invention Assignment Agreement without qualification or modification and comply with the company’s policy on nepotism.

Search Firm Representatives

Please be advised that FINRA is not seeking assistance or accepting unsolicited resumes from search firms for this employment opportunity. Regardless of past practice, a valid written agreement and task order must be in place before any resumes are submitted to FINRA. All resumes submitted by search firms to any employee at FINRA without a valid written agreement and task order in place will be deemed the sole property of FINRA and no fee will be paid in the event that person is hired by FINRA.

FINRA is an Equal Opportunity and Affirmative Action Employer

All qualified applicants will receive consideration for employment without regard to age, citizenship status, color, disability, marital status, national origin, race, religion, sex, sexual orientation, gender identity, veteran status or any other classification protected by federal state or local laws as appropriate, or upon the protected status of the person’s relatives, friends or associates.

FINRA abides by the requirements of 41 CFR 60-741.5(a). This regulation prohibits discrimination against qualified individuals on the basis of disability, and requires affirmative action by covered prime contractors and subcontractors to employ and advance in employment qualified individuals with disabilities.

FINRA abides by the requirements of 41 CFR 60-300.5(a). This regulation prohibits discrimination against qualified protected veterans, and requires affirmative action by covered prime contractors and subcontractors to employ and advance in employment qualified protected veterans.

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