

CETERA FINANCIAL GROUP
JOB PROFILE

JOB TITLE:	Sr. Analyst – Due Diligence		
Job Family:	Due Diligence	Job Code:	
Department:		Reports To:	VP of Due Diligence
FLSA Status:		Location:	El Segundo, CA
Market Point Range:		ICP Range:	
Date Completed:	July 21, 2010		

PRINCIPLE RESPONSIBILITIES	<p>Due Diligence/Investment Analysis</p> <ul style="list-style-type: none"> ▪ Analyze and evaluate a wide variety of investments including mutual funds, alternative investments, private placements, public offerings, and IPOs, among others. Analysis focuses on investment strategy/style utilized, buy/sell discipline, and performance. ▪ Analyze, evaluate, and monitor advisory programs and money managers. Analysis should include investment methodology for asset allocation, how client risk tolerance, investment objectives and time horizons are incorporated into management’s philosophy, buy/sell discipline, asset classes utilized within investment models, reallocation, rebalancing, and changes in investment philosophy. ▪ Travel as necessary to perform on-site reviews and conference participation (10% - 25%). <p>Regulatory/Compliance</p> <ul style="list-style-type: none"> ▪ Evaluate adequacy of disclosures in light of applicable regulatory agency rules and regulations ((e.g. benchmark’s used, hypothetical/actual performance). ▪ Review potential conflicts of interest and their disclosures, review compensation amounts and method of payment to determine if compliant with internal policies and procedures as well as applicable regulatory agency rules and regulations, assess risks of program and discuss/document these. ▪ Understand and keep abreast of the regulatory environment and internal compliance and legal policies and procedures. <p>Legal</p> <ul style="list-style-type: none"> ▪ Review all legal opinions and utilize in-house counsel when deemed appropriate. ▪ Gain understanding of the rules and regulations governing Broker-Dealers and the investment products sold, including but not limited to SEC and FINRA, federal and state securities rules and regulations. ▪ Review all legal agreements pertaining to the sale of an investment product (e.g. client agreement, selling agreement, dealer-manager agreement), revise and negotiate agreements with product sponsor. When necessary, utilize in-house legal counsel and/or compliance personnel to resolve or decide deal points. <p>Financial Analysis</p> <ul style="list-style-type: none"> ▪ Analyze and evaluate financial strength of the investment product’s sponsors (e.g. working capital position, cash flows, liabilities, going concern), evaluate performance and adequacy of related disclosures. <p>Support</p> <ul style="list-style-type: none"> ▪ Provide/Gather information and supported other departments (e.g. Compliance) as requested to fulfill inquiries from regulatory agencies. ▪ Provide product information and support to registered representatives and broker-dealer home office marketing/resource center personnel via telephone, email and conference calls. ▪ Serve as the primary contact for all due diligence and specific investment related education needs, for one Broker-Dealer within network. Serve as back up on at least one other Broker-Dealer. ▪ Prepare B/D liaison business plan and report on progress towards accomplishment of business plan objectives on a quarterly basis. Also, request feedback and evaluation from B/Ds on an ongoing basis.
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	<ul style="list-style-type: none"> ▪ Answer questions and provide support to internal departments including legal, compliance, trading & operations, research, and advanced markets. <p>Education & Training</p> <ul style="list-style-type: none"> ▪ Educate home office personnel including marketing/resource center, executives, and registered representatives on investment products or topics, via conference calls, written communication, and conferences. ▪ Participate in speaking engagements at firm-sponsored conferences, as well as industry-sponsored events, as subject matter expert. ▪ Present to field office personnel on due diligence function, as requested. <p>Research & Writing</p> <ul style="list-style-type: none"> ▪ Research and write on various investment topics. ▪ Write summaries on specific investment products approved by due diligence and prepare discussion points/reasoning for investment products not approved. <p>Special Projects</p> <ul style="list-style-type: none"> ▪ Engage in special projects for Representatives and B/D liaisons. ▪ Engage in Department special assignments including creation of policies/procedures specific to Department functions. <p>Personal Development and Continuing Education</p> <ul style="list-style-type: none"> ▪ Gain industry knowledge as needed to evaluate industry-specific investment products such as real estate, oil & gas, private equity, hedge funds, managed money, etc. Keep abreast of developments in such industries. ▪ Meet all continuing education requirements, including firm element and regulatory agency required (e.g. FINRA) among others.
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KNOWLEDGE, SKILLS AND ABILITIES	<ol style="list-style-type: none"> 1. Bachelors Degree required (Finance or Business preferred). 2. Advanced Degree and/or professional designation highly preferred, but not required. 3. Must possess or acquire securities licenses (FINRA Series 7 and 65/66). 4. Computer Skills: Microsoft Outlook, Word, Excel, PowerPoint, Access, and Principia Pro.
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ADDITIONAL INFORMATION	<ul style="list-style-type: none"> ▪ Does the incumbent in this position have direct accountability for staff supervision/management? No ▪ Does the incumbent in this position have budget accountability? No ▪ Is travel expected to perform this job? Yes; 10 - 25%
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