

Job Title: Medical Director

At Northwestern Mutual, we believe relationships are built on trust. That our lives and our work matter. These beliefs launched our company nearly 160 years ago. Today, they're just a few of the reasons why people choose to build careers at Northwestern Mutual.

We're strong and growing. In a company with such a long and storied history, this may be the most exciting and important time to be a part of Northwestern Mutual. We're strong, innovative and growing.

We invest in our people. We provide opportunities for employees to grow themselves, their career and in turn, our business.

We care. We make a positive difference in our communities. Nationally, thousands have benefitted from our support of research and programs to fight childhood cancer. Each year, our Foundation, employees and financial representatives donate time, talent and financial support to causes they're passionate about.

We are an equal opportunity/affirmative action employer and all qualified applicants will receive consideration for employment without regard to race, color, religion, gender identity or expression, sexual orientation, national origin, disability, age or status as a protected veteran, or any other characteristic protected by law.

What's the role?

Northwestern Mutual's Enterprise Compliance Department is seeking an individual to play an integral role in the success and effectiveness of the Northwestern Mutual Wealth Management Company (NMWMC) Compliance program. We are looking for an individual who is proactive, strategic, can influence without authority, and has experience in retail investment management. This individual will have the opportunity to work with leaders of NMWMC and NMWMC Advisors and help NMWMC and its advisors operate in an effective, efficient and successful manner, and in compliance with the rules and regulations of the Office of the Comptroller of the Currency (OCC). This individual will provide guidance and expertise in the development of compliance training for NMWMC, and develop compliance testing and technology solutions to effectively manage compliance risk at NMWMC. Additionally, this individual will interact with OCC examiners and have opportunities to present to the NMWMC Board. Your primary responsibilities will involve:

- Maintaining, managing and, when required, updating Northwestern Mutual Wealth Management Company's (NMWMC) Compliance program to ensure compliance with applicable Office of the Comptroller of the Currency (OCC) rules and regulations.
- Ensuring written compliance policies, and supervisory procedures and controls are in place for an effective NMWMC Compliance program.
- Identifying and assessing new and/or updated OCC rules and regulations impacting NMWMC, and implementing any necessary changes to NMWMC's compliance program to ensure compliance with such rules and regulations
- Assessing planned changes to the operations and activities of NMWMC in order to identify any compliance implications of such changes and, where appropriate, coordinate the development of written policies, procedures and controls to ensure continues compliance with OCC rules and regulations
- Identify risk-based and cyclical compliance testing of NMWMC policies, procedures and controls to ensure their effectiveness
- Reviewing results of internal audits, compliance testing and regulatory exams to identify and implement new and/or updated policies, procedures and controls to address non-compliance with OCC rules and regulations
- Coordinating and supporting the development of compliance training and technology solutions that support the compliance programs of NMWMC.

- Assisting the NMWMC CCO with projects and assignments, including project management or coordination, related to the NMWMC compliance program;
- Providing support on NMIS Compliance projects and efforts when requested by the NMIS CCO.

Bring Your Best! What this role needs:

- Bachelor's Degree is required.
- Minimum of 7 years of progressively responsible work experience in Investment Management or Investment Advisor compliance.
- Familiarity and understanding of OCC rules and regulations.
- Demonstrated strong leadership, decision-making and written and verbal communication skills.
- Ability to effectively communicate requirements to, negotiate with, and influence others across departmental lines within the organization and members of field management.
- FINRA Series 7 and 24 is required. Individuals are provided 3 months each for obtaining registrations.
- Prior experience in banking operations is highly desired.

Note Regarding Requirements: this position may also require fingerprinting and/or FINRA registrations, or have additional physical requirements. Managers can refer to the Job Description SharePoint for this information.

ADA Disclaimer: This job description is meant to be a general description, and may not include all essential job functions or competencies needed to perform those job functions. The Company will reasonably accommodate medical needs for qualified job candidates to successfully perform the job. Job qualifications and accommodation needs are reviewed and evaluated on a case-by-case basis.

TO APPLY, PLEASE FOLLOW THIS LINK: <http://bit.ly/2JEzVX8>

Req ID: 23259

Position Type: Regular Full Time

Education Experience: Bachelor's Required

Employment Experience: 6-8 years

Licenses/Certifications: FINRA Series 24; FINRA Series 7

FLSA Status: Exempt

Posting Date: 06/26/2018