

Vice President, Testing & Continuing Education- RAD - Rockville, MD

We Work to Protect Investors. Join our Team.

The Financial Industry Regulatory Authority (FINRA) is seeking a well-qualified individual for our **Vice President- Registration & Disclosure** opening in **Rockville, MD**. To be considered for this position, please submit your resume through our career site at www.finra.org/careers – no phone calls, please.

Job Profile Summary

This position will be charged with overseeing all aspects of FINRA's qualification examinations and continuing education (CE) programs and managing the P&L for the department. This role will direct the strategy, development, execution and administration of qualification examinations and CE programs on behalf of the entire securities industry, serving nearly 630,000 registered individuals, as well as qualification examinations for several client organizations. FINRA's high stakes qualification examinations and CE programs deliver over 400,000 computer-based examination and training sessions annually. These examinations are delivered daily through a network of over 300 contracted test centers nationwide and internationally while CE sessions are delivered through FINRA's CE Online System.

Essential Job Functions:

- Oversee the development and administration of qualification examinations and the CE programs and ensure that all programs are a valid and reliable measure for industry qualification and CE purposes.
- Oversee the creation and management of industry content committees that develop high quality qualification examinations and CE content that result in a valid and reliable measure for industry qualification and CE programs.
- Provide expert guidance to staff and clients on all phases of the qualification examinations and CE programs including job analysis, test specification development, item writing, examination and CE program development, pass point determination, scoring and performance analysis.
- Participate as a FINRA representative on the Securities Industry Continuing Education Council and work closely with other self-regulatory organizations and regulators to support the council and implement its policies.
- Oversee the psychometric analysis of qualification examinations and CE programs. Collaborate with staff and industry experts to ensure the successful performance of new and existing content and enhance the overall quality of the qualification examinations and CE programs by continuing to drive innovation across the programs.
- Direct the relationship between FINRA and its delivery vendors, and clients of the qualification examinations and CE programs. Ensure that policy issues, software releases and matters concerning ongoing departmental operations are promptly addressed and resolved. Identify and implement new services that will increase the efficiency of the programs and improve the candidate and registered representative experience.
- Serve as executive business sponsor for technology initiatives that support FINRA's qualification examinations and CE initiatives.
- Lead all efforts to secure new qualification examinations and CE business opportunities.

Other Responsibilities:

- Manage special projects and initiatives relating to FINRA's qualification examinations and CE programs.

Education/Experience Requirements:

- Bachelor's degree plus a minimum of 10 years' experience. Advanced degree preferred (Psychometrics, Organizational Psychology, Education, for example.)
- Direct responsibility for a professional or academic continuing education, professional development or computer-based qualification examinations program.
- Detailed knowledge of continuing education, professional development or qualification examinations industry practices and ability to implement best practices in an ongoing operation.
- Demonstrated management and leadership skills, including ability to innovate and to manage multiple projects.
- Proven ability to work collaboratively with business and technology leaders.
- Proven ability to foster a work environment that supports and encourages diversity and inclusion.
- Experience in vendor management, including contract negotiations, developing service level agreements and contract management.

Working Conditions:

- Work is routinely performed in an office environment.
- Overnight travel is required.
- Extended hours may be required.

To be considered for this position, please submit a cover letter and resume. A writing sample may be required as part of the submission.

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.

In addition to a competitive salary, comprehensive health and welfare benefits, and incentive compensation, 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.**

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.

About FINRA

FINRA is an independent, non-governmental regulator for all securities firms doing business with the public in the United States. FINRA works to protect investors and maintain market integrity in a public-private partnership with the Securities and Exchange Commission (SEC), while also benefiting from the SEC's oversight. In its role as investor guardian, FINRA is informed, but not influenced, by the industry that it regulates. FINRA's independent regulation plays a critical role in America's financial system—all at no cost to taxpayers.

FINRA touches virtually every aspect of the securities business—from registering and educating industry participants to examining securities firms; writing rules; enforcing those rules and the federal securities laws; informing and educating the investing public; providing trade reporting and other industry utilities; and administering the largest dispute resolution forum for investors and registered firms. FINRA uses technology powerful enough to look across markets and detect potential abuses. Using a variety of data gathering techniques, we work to detect insider trading and any strategies firms or individuals use to gain an unfair advantage.

In today's fast-paced and complex global economy, FINRA is a trusted advocate for investors, dedicated to keeping the markets fair and proactively addressing emerging regulatory issues before they harm investors or the markets. FINRA operates from Washington, DC, and New York, NY, with other offices around the country.

Find out more about us and how we work—and view our current openings—at www.finra.org/careers.

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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