
Position Title:	Compliance and Trade Operations Specialist
Job Type:	Exempt
Reports to:	Senior Director of Trading and Operations
Salary Range:	\$60,000 to \$80,000 – Bonus eligible

Job Purpose:

To provide oversight and support to the firm's investment operations. Responsibilities include compliance, execution, and review for portfolio management and compliance firm liaison.

Essential Functions:

Compliance Oversight

- Facilitating the relationship with our compliance firm and providing requested data
 - Managing the annual audit process for our compliance firm and broker dealer
 - Updating and broadcasting of client related forms
- Firm sign off on client documents
- Audit oversight of affiliate offices
 - Perform Branch audits
- Quarterly compliance monitoring of portfolio allocation against current base model
 - Leading meetings with senior officers to review outstanding accounts
- Daily review of trade accuracy including analysis of outside positions, employee trading, and other anomalies
- Quarterly review of SEC Rule 606 (best execution) Reports

Trade and Billing Management

- Managing trade execution and reconciliation for incoming and outgoing funds daily
 - Leading weekly meetings on outstanding investments, debits, and maturing issues
 - Processing quarterly and annual portfolio rebalances
 - Processing bond trades including allocation and file retention
- Assist in the completion of the billing process from initial coding to preparation and reporting, to final reconciliation
- Executing portfolio implementation and modification across multiple platforms
- Facilitating the trade correction and reporting process
- Assist in research of companies to use in model allocations
- Research and provide current Fixed Income inventory Portfolio Managers

Knowledge, Skills & Abilities:

- Microsoft Office, Outlook, Teams, SharePoint & Basic Computer Skills
- Familiarity with custodial software (Pershing, TD Ameritrade, Schwab, AssetMark)
- Familiarity with Orion software
- Attention to detail and high level of accuracy
- Excellent interpersonal skills



- Team building skills
- Effective verbal and listening communications skills
- Highly effective organizational skills
- Effective time management skills

Education & Experience:

- Bachelor's degree in related field
- Five years of experience in a related field
- Knowledge of and experience with financial products, policies & procedures.
- Series 7 and 65/66 required
- Series 24 preferred, required within 1 year

Physical Demands & Work Environment:

The physical demands described here are representative of those that must be met by an employee to successfully perform the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.

- Ability to lift and/or move up to 25 pounds.
- Frequently required to sit, reach with hands and arms. Occasionally required to stand, walk, climb stairs, balance, stoop, kneel, crouch.
- Noise level in the work environment is low to moderate.

I can, with or without reasonable accommodation(s), perform the essential functions of this position:

Employee Name

Employee Signature

Date