

US Compliance Analyst



Location: Chicago, IL

The Compliance Analyst reports directly to the Compliance Manager and Chief Compliance Officer and works with other Compliance staff to support day to day responsibilities in the area of Compliance.

Responsibilities:

- Learn and master the exam process of on-site reviews of Straits Guaranteed Introducing Brokers and Branch Offices to assist in these exams.
- Respond to and assist in preparation of records related to regulatory requests.
- Assist broker network with Compliance-related functions such as obtaining and maintaining annual updates, training, and other compliance-related documentation.
- Support the Compliance function by conducting tasks which include: responding to day to day inquiries from introducing brokers and other affiliates; conducting follow-up reviews of audit deficiencies with brokers; and researching exchange memberships;
- Stay informed of the current legal and regulatory landscape, especially regarding applicable new or amended laws and regulations and assist in the development and implementation of firm procedures in response to new or changed rules and/or regulations.
- Conduct initial due diligence and facilitate on-boarding of new business.
- Conduct periodic reviews and on-going monitoring of firm accounts.
- Assist Compliance in other various ad hoc projects.
- Conduct client confirmation calls and surveys to confirm information submitted during the New Accounts process.
- Conduct periodic reviews and on-going monitoring of firm accounts in accordance with Compliance and Anti-Money Laundering standards and procedures.

Candidate Skills/Requirements:

- Bachelor's degree, preferably in business or a related field, or past experience in futures, securities, or forex compliance, preferably at a Futures Commission Merchant, other futures registrant, or regulatory agency.
- 2-5 years in a compliance-related role required.
- Experience in an audit-related field a plus.
- Ability to quickly learn and implement firm processes as well as learn various software programs.
- Self-motivated, high level of dependability, team oriented, organization, attention to detail, and strong verbal, writing, and interpersonal skills required.
- Candidate must be able to efficiently multi-task in a fast-paced environment and manage competing deadlines.
- Advanced knowledge of Microsoft Excel, Word, and Powerpoint preferred, experience using these programs is required. Experience using Sungard GMI and FIA Docs Give-up System is a plus.
- Willingness and ability to travel <25%.

If you would like to apply for this position, please send your resume to sduran@straitfinancial.com

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(A member of the CWT Group)

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