

US Senior Compliance Analyst

Location: Chicago, IL

The Senior Compliance Analyst works directly with the Compliance Team, inclusive of the Compliance Manager and Chief Compliance Officer to support the development, review, and production of processes, standards, policies, and guidelines which are required to facilitate compliance with regulatory standards of a Futures Commission Merchant (FCM). The candidate will report directly to the Compliance Manager.

Responsibilities:

- Support the New Accounts function and ensure all commodity futures trading accounts are opened in accordance with firm procedures, including but not limited to anti-money laundering and customer suitability procedures.
- Conduct periodic reviews and monitoring of trading activity, order placement, marketing materials, and sales practices of Firm brokers, guaranteed introducing brokers (GIB), and other parties to ensure conformity to applicable NFA, CFTC, and Exchange rules. Identify and escalate any concerns resulting from such reviews and monitoring.
- 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 regulations.
- Assist in the preparation and response to regulatory requests.
- Conduct due diligence and on-boarding of new business and evaluate current business, including monitoring FCM's Guaranteed Introducing Brokers (GIB). This may include conducting on-site reviews of Guaranteed Introducing Brokers and Branch Offices.
- Assist in training other staff.

Candidate Skills/Requirements:

- Minimum 2-3 years' experience in futures or securities compliance, at a Futures Commission Merchant, Broker Dealer, other futures or securities registrant, regulatory agency, regulatory consulting, audit or similar organization.
- Intermediate to advanced understanding of compliance processes and regulatory requirements, including NFA, CFTC, Exchange, and other SRO rules.
- Ability to review and understand account statements, marketing materials, orders, disclosure documents, business operations, etc. in conjunction with rules and regulations and identify regulatory risks or confirm compliance with rules and regulations.
- Self-motivated, high level of dependability, organization, attention to detail, and strong writing skills required. Candidate must be able to efficiently multi-task in a fast-paced and challenging environment.
- Working knowledge of FIA EGUS, Sungard GMI, and holder of Series 3 license preferable.
- Background and working knowledge of IT Compliance and/or cybersecurity is a plus.
- Willingness and ability to travel <25%.