

Compliance Analyst

Location: Chicago, IL

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

Responsibilities:

- Learn and perform the on-site and remote audits of Straits guaranteed introducing brokers and branch offices.
- Respond to and assist in the 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 responding to day-to-day inquiries from introducing brokers and other affiliates, conducting follow-up reviews of audit deficiencies with brokers, and perform compliance regular reviews.
- Stay informed of the current legal and regulatory landscape and assist in the development and implementation of firm procedures in response to new or changed rules.
- Conduct initial due diligence and facilitate the onboarding process of new business.
- Conduct periodic reviews and ongoing monitoring of firm accounts and transactions.
- Assist Compliance in other various ad hoc projects.
- Conduct client confirmation calls and surveys to confirm the information submitted during the New Accounts process.
- Conduct periodic reviews and ongoing monitoring of firm accounts in accordance with Compliance and Anti-Money Laundering standards and procedures.

Candidate Skills/Requirements:

- Minimum B.A. or B.S. degree or equivalent in Accounting, Finance, Math, Business Administration, Computer Science, Information Systems, Economics or other related degrees.
- 0-2 years in a compliance-related role required, preferably with experience in financial institution compliance.
- Compliance experience at a Futures Commission Merchant other futures registrant, or regulatory agency desired.
- Experience in conducting futures industry related audits or exams, such as annual branch office or GIB examinations or regulatory exams desired.
- Proficiency in MS Office with an emphasis in Excel.
- Ability to travel to conduct audits at minimum 25% annually.
- Ability to quickly learn and implement firm processes as well as learn various software programs.
- Self-motivated, high level of dependability, team-oriented, organized, good attention to detail, and strong verbal, written, and interpersonal skills required.
- Experience using Sungard GMI and FIA Docs Give-up System is a plus.

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