

INTL Trading, Inc. is seeking a Branch Compliance Investment Banking Specialist (“BCS”) to join our compliance team.

Reports to: Chief Compliance Officer

Position Purpose: The Branch Compliance Investment Banking Specialist will be responsible for oversight of our investment banking division.

Responsibilities include, but are not limited to:

- Updates and maintains departmental policies and procedures as they pertain to investment banking.
- Provides day to day oversight of the investment banking division.
- Keeps abreast of all regulatory developments effecting investment banking.
- Reviews offering memorandums, M&A deals and fairness opinions.
- Reviews and approves marketing materials.
- Provides real time advice to the investment bankers on regulatory requirements.
- Responds to Regulators, in regards to investment banking inquiries.
- Designs, executes and delivers live training on compliance policies and procedures.
- Creates controls to ensure adherence to laws, regulations and firm policies and procedures.
- Designs testing and monitoring procedures to review and assess the effectiveness of controls.

Requirements:

- Undergraduate degree in a related discipline.
- A minimum of 3-5 years Investment Banking compliance experience in a FINRA regulated environment
- Strong knowledge of regulatory, ethics and compliance related issues
- Able to work independently as well as a team player
- Excellent relationship management and verbal and written communication skills.
- Ability to interact with individuals at various levels throughout the company.
- Series 7, 24 required
- Series 79 preferred

Physical requirements/Working conditions:

- Climate controlled Office environment
- Dynamic, time-sensitive environment