



Supervisory Analyst/Compliance Officer (Stamford, CT / Remote)

Description

MKM Partners, a full-service institutional equity research, sales, and trading firm headquartered in Stamford, Connecticut, is accepting applications for the role of Supervisory Analyst/Compliance Officer. In this role, your responsibilities will include reviewing and approving research, assisting with implementing supervisory policies and procedures across the research platform and assisting with supporting the firm's overall regulatory compliance program. You will be required to assist in a variety of administrative tasks and special projects, while interacting with stakeholders across all departments including research, sales, trading, compliance, IT, operations and business management.

Responsibilities

- Demonstrate and maintain a competent level of expertise and knowledge regarding FINRA Research rules and other general federal, SRO and state regulations applicable to the firm;
- Assist with developing, implementing and maintaining new policies and controls for the firm's research business activities;
- Review, edit and approve research and other material (i.e., models, PowerPoints, etc.) to comply with regulatory requirements and firm guidelines;
- Work with Supervisory Analyst team members, Research and Compliance to ensure all material is of the highest quality in terms of compliance, content and format;
- Review, approve and log all public appearance requests;
- Work with Compliance to maintain the firm's Restricted List;
- Complete client due-diligence questionnaires;
- Administer periodic training certifications and reporting;
- Assist with a wide variety of general compliance and administrative tasks and projects.

Qualifications

- FINRA Series 7, 63, 16 (or 24/87);
- Minimum 5 years' experience as an SA and/or research editor, in an equity research department;
- Bachelor's degree in Finance, Economics, or related field;
- Previous experience with BlueMatrix platform;
- Highly organized approach to work with awareness of confidentiality issues and ability to prioritize workloads;
- Highly proactive, motivated, hardworking, committed, flexible, and can-do approach;
- Must be able to think laterally and identify potential issues/conflicts within research material;
- Ability to build strong relationships with internal peers, working individually and collaboratively;
- Excellent verbal and written communication skills;
- Strong interpersonal and supervisory skills and the ability to work with all levels of personnel with a high degree of integrity and maturity;
- Possess excellent organizational skills and the ability to work effectively independently and under pressure.

Cover letter and resume must only be sent to careers@MKMPartners.com with "Supervisory Analyst" in the subject header (no phone calls).