

Bond Case Briefs

Municipal Finance Law Since 1971

Municipal Finance Compliance Consultant

Job Description:

Kforce has a client in Weehawken, NJ that is seeking a Municipal Finance Compliance Consultant to assist with Wealth Management Americas Compliance with drafting policies, procedures and training to prepare for a new municipal underwriting business.

Summary:

Team:

The ideal candidate will be working with the Wealth Management Americas Products and Trading team in Compliance. They are responsible for advising on several products, including taxable and municipal securities, equities, options, futures and structured products. The role will be located in Weehawken and New York City.

Duties Include:

Draft and update policies and procedures for the municipal underwriting business relating to topics such as the municipal advisor rules, due diligence requirements, RFPs, and supervision

Create training for newly hired municipal bankers, underwriters and traders

Provide advice to the municipal bankers and underwriters on topics such as the municipal advisor rules, due diligence requirements, RFPs, and supervision

Educate the firm on regulatory developments and rules relating to municipal securities

Review current business practices against regulatory and firm requirements to ensure that discrepancies are proactively identified and addressed

Job Requirements

At least a Bachelor's degree

At least 10 years of experience with municipal finance

Experience drafting policies and procedures with municipal underwriting - at least 5 years

Legal or compliance experience with the municipal underwriting business

Enjoys working closely with the business

Knows how to maintain independence and objectivity

Excellent knowledge of Word and Excel

JD a plus

Series 7, 63/66, 53 a plus

Able to draft policies and procedures regarding municipal underwriting

Capable of completing tasks with very tight deadlines

Highly organized

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