

Bond Case Briefs

Municipal Finance Law Since 1971

Senior Municipal Finance Compliance Officer

Confidential Employer

Forget the title! This is an Executive level role that is part of an exciting and eagerly awaited industry relaunch of this Fortune 500's municipal finance business. This position is perfect for someone who is currently a number two in their department (or even a number one seeking a definitive move). You must know munis - inside and out as you will be working closely with bankers and sitting with the traders. We are looking for a confident, quick decision maker who can work with business leaders and who knows how to maintain independence and objectivity.

Compensation range is \$175K-\$240K with bonus.

Your day-to-day responsibilities include the following:

- provide advice to the municipal bankers and underwriters on topics such as the municipal advisor rules, due diligence requirements, RFPs, etc.
- participate on capital commitment and other committees
- educate the firm on regulatory developments and new rules relating to municipal securities
- review current business practices against regulatory and firm requirements to ensure that discrepancies are proactively identified and addressed
- draft and update policies and procedures relating to municipal underwriting business
- assist in responding to regulatory exams and inquiries

Your team:

You 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 near Jersey City with some travel to NYC.

Your experience and skills:

You have:

- at least 15 years of experience with municipal finance
- at least a bachelor's degree
- JD a plus
- working knowledge of Word and Excel
- Series 7, 63/66, 53 a plus

You are:

- able to make time sensitive decisions regarding municipal underwriting questions
- capable of completing tasks with very tight deadlines, while also delivering on long term projects
- willing to present regulatory developments to senior management and internal stakeholders

- extremely organized [Apply](#)