



DUNCAN-WILLIAMS, INC.
INVESTMENT BANKERS • EST. 1969

COMPLIANCE OFFICER – Debt Capital Markets & Investment Banking

Duncan-Williams, Inc. is seeking an experienced Compliance Officer for a position covering its Debt Capital Markets division. The Compliance Officer position will report directly to the Chief Compliance Officer. The successful candidate will possess strong communication skills and the ability to manage multiple tasks. The candidate should have a deep understanding of the rules and regulations relevant to the sales and trading of fixed income securities along with aspects of its investment banking.

Responsibilities:

- Participates in the development and maintenance of comprehensive written supervisory procedures by providing guidance to the business unit
- Works closely with DCM management to provide analysis and a resolution on compliance matters
- Assists in conducting on-going surveillance, reviews and testing and maintaining proper documentation of all reviews conducted by the compliance department
- Researches and responds to regulatory inquiries, as necessary (FINRA & SEC)
- Assists with the coordination of examinations with various government and regulatory organizations
- Assists in internal and external examinations, including follow-up actions
- Participates in development and implementation of employee training, including continuing education
- Assists in tracking/documenting compliance projects, registration requirements and compliance affirmations
- Keeps abreast of external compliance rules and regulatory requirements
- Performs other compliance duties, as necessary

Qualifications:

- Bachelor's Degree in related field
- Minimum of 5+ years' experience in fixed income compliance or operations
- Licenses preferred: Series 7 and 24 required.
- Ability to work both independently and in a team environment
- Broad knowledge of Broker-Dealer operations, a plus