



## LOOP CAPITAL MARKETS, LLC

### **JOB DESCRIPTION:**

Compliance Assistant

#### **Brief Description:**

Loop Capital Markets, LLC is seeking a candidate to serve as a Compliance Assistant. The position requires a strong candidate with superior efficiency, work style and professionalism to support the Compliance Officer. Candidate must have the ability to interface with senior executives, professionals, IT, and Operations in a fast paced environment. Must be proficient in Excel, Microsoft Word and Outlook; PowerPoint is a plus.

#### **Job Responsibilities:**

- Work proactively to support the Compliance Officer;
- Access regulatory websites to compile and organize transaction data;
- Track various regulatory data in Excel spreadsheets;
- Develop an understanding of organizational structure and functions, in particular systems and processes utilized firm-wide and be able to address questions and assist on projects as needed;
- Coordinate and handle documentation requirements for benefits filings;
- Establish and maintain Compliance related files;
- Coordinate mass account mailings;
- Assist in creating and constructing proposals and responses for RFPs as needed;
- Build and maintain relationships with all work related personnel;
- Interact with all levels of executive management, support staff, clients, etc. with strictest confidence, professionalism and respect.

#### **Qualifications:**

- Understand business organization supported by the group
- Communicate effectively, both written and verbal
- Strong detail-oriented organizational skills
- Professional positive attitude and appearance
- Excellent phone etiquette
- Ambitious and assertive
- Self-guided
- Ability to prioritize and multi-task in a highly visible, fast paced, ever-changing environment
- Ability to work independently with strong administrative/problem solving skills
- Ability to interface with all levels of Executive Management
- Ability to handle confidential matters and information
- Advanced user of MS Excel and PowerPoint applications
- Intermediate to advanced user of Outlook and MS Word Software

College degree preferred and minimum 2 years experience.