



## Operations Lead

Stern Brothers is a 103-year-old MWBE investment bank that operates on the national level with offices across the country and headquartered in St. Louis, MO. The Firm seeks to hire an additional operations specialist to support our growing team. This role will serve as an Operations Lead. This individual will perform all functions of Operations to be able to assist on high volume days and work in all facets of brokerage operations. This individual will work closely with each trading desk and the ideal candidate needs to be familiar with regulations and trade reporting for both fixed income and equities. Job responsibilities include the following:

1. Monitor all regulatory trade reporting (TRACE, RTRS, OATS, CAT) to ensure timely, accurate reporting. Document review process and maintain logs of any issues.
2. Review identified Pershing reports, document findings and inform management of issues.
3. Perform OFAC and KYC checks for new Retail and Institutional accounts as well as Corporate Issuers. Document review process and escalate to management when significant issues arise.
4. Able to perform all Operations functions including but not limited to transaction clearing, new accounts, CTM, UW Source input.
5. Handle trade corrections and errors in a timely fashion per firm guidelines and internal policies. Maintain detailed records.
6. Review FINRA and MSRB monthly compliance report cards.
7. Taking the initiative to improve workflows and processes is highly desirable.
8. Assist in creating custom reports regarding trading activity as requested.
9. Responsible for obtaining all new business license and renewing licenses for each branch office.
10. Perform other operational type duties as needed or directed by senior management

### Qualifications

Series SIE, 7 and 99 or obtain immediately after hire.

Proficient in Microsoft Office

Able to handle stressful situations

Excellent verbal, written and interpersonal communication skills

Strong analytical and problem-solving skills