



101 Arch Street
Suite 610
Boston, MA 02110

141 W Jackson Blvd,
Suite 280
Chicago, IL 60604

Position Title: Jr. Surveillance Analyst
Department: Market Regulation Center

Date: May 2022
Status: Full-Time, Exempt

Position Summary:

Under the supervision of the Manager, the Junior Surveillance Analyst will support the Market Regulation Center (“MRC”) management and staff by performing routine market surveillance.

Position Duties:

- Perform daily, periodic and as assigned PC-based reviews of automated and manually generated market surveillance data.
- Using rules-based processes, timely review, analyze and comment on all assigned reviews.
- Report daily and escalate findings to Manager for all assigned reviews.
- Propose enhancements to assigned reviews, report logic and algorithms and assist in identifying false positives to ensure effective oversight programs and processes.
- Identify and elevate developing trends in assigned reviews.
- Maintain accurate current procedures for assigned reviews; propose and reflect updates to written procedures to Manager, Market Regulation Center to ensure accurate reflection of processes and controls performed in assigned reviews.
- Other responsibilities include compiling, analyzing or validating statistics; assisting with documentation production and as otherwise assigned by Manager and or Director, Market Regulation Center.
- Other special projects as assigned or directed by the Manager and or Director, Market Regulation Center.

Education:

Bachelor’s Degree in Finance, Economics or Business Management required. Industry certifications (i.e., S7) desirable but not required.

Experience:

One to two years of prior compliance, audit or regulatory oversight experience preferred, with some exposure to SRO rules and regulations or other regulatory organizations experience. Derivatives markets trading or compliance oversight experience preferred (and may be in lieu of non-related Bachelor’s Degree).

Job Knowledge and Skills:

High level of accuracy and attention to detail required. Must have the ability to analyze and summarize findings in a concise and clear format. Proficiency in PC-based software programs such as Word, Excel, Power Point and/or other basic programming experience a plus.

Communication Skills:

Exceptional communication skills required. Ability to work under pressure, handle multiple assignments and deadlines. Some contact with customers involving problem resolution requiring tact and professional attitude.

