

Job Description

Position Title: Regulatory Controls Coordinator
Department: Office of Market Supervision (OMS)
Status: Full Time, Exempt

Position Summary:

The Regulatory Controls Coordinator is responsible for providing real-time regulatory oversight of BOX Trading Floor Participants' activities to ensure a fair and orderly market pursuant to BOX Exchange and or SEC rules; performing team lead responsibilities within the Trading Floor unit and assisting Trading Floor management in the development, enhancement and automation of surveillance reports and processes.

Position Duties:

- Support in overseeing daily activities and trading floor staff on the Trading Floor.
- Assist Trading Floor Analysts as they analyze situations to identify issues involved and types of evidence (data and information) necessary to make a determination regarding whether certain activity violates BOX Exchange and/or SEC rules.
- Develop, in consultation with OMS management, policies and procedures to increase productivity, improve efficiency and streamline Trading Floor operations.
- Act as a liaison between BOX MOC, FINRA, and other groups.
- Responsible for more advanced and or complex surveillance report reviews.
- Generate statistical analysis reports for Senior OMS Management.
- Participate as a member of the BOX Trading Floor Business Continuity Task Force.
- Other projects as assigned or directed by OMS Management.

Education:

Bachelor's degree in Finance, Economics or Business Management preferred.

Experience:

- Minimum of three years of experience in financial services preferred with expertise in equity options trading.
- Prior regulatory background preferred.

Job Knowledge:

- Excellent ability in working collaboratively and act persuasively in sensitive situations; practiced in conflict management techniques.
- Interpersonal talents to work effectively and establish collaborative working relationships with persons from diverse backgrounds and at various organizational levels within and outside the floor community, with sensitivity to confidentiality and to the cultural differences of a diverse working environment.
- Financial services expertise, including market knowledge with a particular proficiency in equity option trading.



- Ability to elevate department profile with various BOX stakeholders, both internally and externally.
- Ability to maintain, safeguard and ensure the confidentiality of records, information and documents related to the regulatory process and adhere to the BOX Code of Conduct.
- Interact and provide solutions with higher-level management on controversial situations, customer negotiations, or influencing and persuading other trading floor constituents.

Technical and Communication Skills:

- Advanced mathematics preferred.
- PC based software programs such as Microsoft Office, Excel, Access are required, SQL and programming experience a plus.
- Exceptional oral and written communication skills are required.
- Ability to work under pressure, handle multiple assignments and deadlines.

Target Salary Range:

\$120,000 - \$150,000 if located in Illinois

Salaries vary by location and are based on numerous factors, including, but not limited to, the relevant market, skills, experience, and education of the selected candidate. If an estimated salary range for this role is available, it will be provided in our Target Salary Range section.

Our compensation package also includes bonus eligibility and a comprehensive benefits program.

