SAMPLE Description

**Description:** To obtain an understanding of XYZ Company and how we interrelate with the securities industry. This is an introductory-level position in which incumbents are training for assigned roles, training to learn job related skills, and working under direct supervision.

**Essential Job Functions:**
- Learn how to gather information on member firms from rules, regulations guidelines, records, databases, SROs and regulatory agencies.
- Learn how to determine member firm regulatory compliance.
- Observe examination activity performed by more senior staff.
- Assist in reviewing and analyzing customer complaints and termination for cause investigations.
- Assist with reviewing, analyzing, and comparing documents and information on firm finances, policies, procedures, practices, and products to security industry rules, regulations and guidelines.
- Access XYZ Company's system applications and records, collecting and disseminating data/reports.
- Assist in preparing memoranda and reports regarding investigations.
- Collect, prepare and itemize exhibits for reports of investigations.
- Assist in collecting historical pricing data utilizing market trade data and prepare FINRA's examination schedules.
- Participate in conferences or interviews with senior examiners.
- Achieve an understanding and working knowledge of XYZ Company's role and responsibilities in the securities industry with exposure to customer complaints, routine examinations, and the new member application process.
- Provide ad hoc project/ministerial or technical support.

**Qualifications:**
- The ideal candidate will be majoring in Finance, Accounting, Business Administration, or pursuing a Master’s Degree or J.D.
- Only candidates entering their third or fourth year of undergraduate studies or pursuing graduate studies will be considered. Some internship positions may require law students to be entering their final year of study.
- Work experience in a financial, brokerage or investment environment is a plus.
- Strong work ethic, positive attitude and professional demeanor.
- Effective communication, time management, and organizational skills.
- Ability to work with others to meet deadlines.
- Ability to perform multiple tasks efficiently and accurately.

**Working Conditions:**
- Work is normally performed in an office environment. Use of desktop PC is required.

The information provided above has been designed to indicate the general nature and level of work of the position. It is not a comprehensive inventory of all duties, responsibilities and qualifications required.