

# DOUGHERTY & COMPANY LLC

## Assistant Controller – Dougherty & Company LLC

Dougherty & Company LLC is a registered broker-dealer in securities with over 40 years of experience specializing in high value added investment and capital raising strategies that help clients achieve their long-term investment objectives. As a full-service investment banking and investment services firm, Dougherty & Company offers a wide array of investment products and services to institutions and individuals nationwide. This position is located at our headquarters in downtown Minneapolis. For more information please visit [www.doughertymarkets.com](http://www.doughertymarkets.com).

### Summary

Dougherty & Company is seeking an Assistant Controller to join our team in Minneapolis, MN. The Assistant Controller will support the Controller in carrying out the responsibilities of maintaining accurate books and records for the broker-dealer. General accounting duties include performing daily, weekly, monthly accounting tasks associated with: maintaining financial records, reports, ledgers, account reconciliations, month-end close, financial and regulatory reporting, financial analysis, audits, and special projects as needed.

### Essential Duties and Responsibilities

- Daily report creation, analysis and distribution
- Daily transaction review, exception analysis and inventory reconciliations
- Daily accounting for Corporate Finance and Public Finance transactions
- Accrual analysis and account reconciliations
- Syndicate accounting and settlements
- Clearance and settlement review, analysis and reconciliations
- Cash monitoring and processing
- Month-end close processes
- Prepare monthly incentive calculations
- Reporting and analysis
- Assist with all audit and regulatory matters
- Assist in the preparation of audited financials and disclosures
- Other duties as assigned

### Job Requirements:

- Bachelor's degree in Accounting or Finance required
- Minimum 3 years' relevant accounting experience; 5 years' experience preferred
- Financial Services experience required; Series 27 or other securities licenses a plus
- Must demonstrate knowledge of generally accepted accounting principles, guidelines, and accepted business practices
- Strong organizational and analytical skills
- Strong written and verbal communication skills
- Ability to manage multiple deadlines
- Strong attention to detail
- Proficient in MS Office; ability to use Excel at a highly proficient level

We offer a comprehensive benefits package for employees and their families including medical and dental plans; 401k plan including company matching; firm funded life and disability insurance.

Qualified candidates should submit their resume to [careers@doughertymarkets.com](mailto:careers@doughertymarkets.com) for consideration.

Equal Opportunity Employer Minorities/Women/Veterans/Disabled

[www.doughertymarkets.com](http://www.doughertymarkets.com)

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