

DOUGHERTY & COMPANY LLC

Compliance Officer – Dougherty & Company LLC

Dougherty & Company LLC is a registered broker-dealer in securities with over 30 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.

Summary:

Dougherty & Company is currently seeking a Compliance Officer to join our team in Minneapolis, MN. The Compliance Officer provides compliance oversight and assistance to business lines to ensure adherence to governmental and self-regulatory organization rules and regulations, and internal firm policies and procedures.

Essential Duties and Responsibilities:

- Reviews, monitors and tests business activity on a daily, weekly, monthly & annual basis.
- Ensure timely and accurate regulatory reporting.
- Assists in setting Compliance policy and procedures for business and Compliance dept.
- Assists business with day to day compliance questions and concerns. Works with business and Operations to ensure understanding of regulatory requirements and provides situational guidance.
- Assist in on-going monitoring and review of policies and procedures including AML.
- Assist in performing firm and employee broker-dealer, investment adviser, municipal advisor, and insurance registrations and renewals. Includes processing U-4's, U-5's, BD, ADV, MA, MA-I, fingerprint cards, etc. through the CRD, IARD and EDGAR systems.
- Assist with mortgage broker registrations and renewals.
- Monitor regulatory and firm element continuing education.
- Reviews research, sales lit and advertising as licensed principal and research principal.
- Provides ongoing oversight for trade reporting and OATS reporting (future CAT reporting) business functions.
- Works with Corporate Finance to ensure regulatory obligations in the primary and secondary offering markets are met.
- Review and responds to SRO and SEC regulatory requests for inquiry, works with CCO and General Counsel as needed.
- Works with SROs and SEC on periodic onsite and remote regulatory examinations, including coordination of regulatory exams. Works with CCO, General Counsel and business stakeholders as needed.
- Conducts research on SRO and Federal regulations and disseminated information in order to stay abreast of regulatory environment and set policy
- Documents and formalizes policies and procedures
- Works with vendors to establish new relationships and ensure ongoing needs are met.
- Performs periodic business locations audits when required
- Perform any other related duties as required or assigned.

www.doughertymarkets.com

90 South Seventh Street, Suite 4300 | Minneapolis, MN 55402.4108 | Phone: 612.376.4000

Member SIPC/FINRA

DOUGHERTY & COMPANY LLC

Required Education and Experience:

- Associate's degree or two-year technical certificate required; Bachelor's degree preferred
- Minimum of 3 years' broker-dealer compliance experience
- Series 7 preferred
- Excellent communication, organization, and prioritization skills
- Strong interpersonal skills with the ability to establish relationships and effectively interact with all levels of staff and personnel.
- Must be able to work independently, as well as part of a team.
- Knowledge of Computer programs and software required
- Regular and reliable attendance required

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 for consideration.

Equal Opportunity Employer Minorities/Women/Veterans/Disabled

www.doughertymarkets.com

90 South Seventh Street, Suite 4300 | Minneapolis, MN 55402.4108 | Phone: 612.376.4000

Member SIPC/FINRA