

National Futures Association (NFA) is the self-regulatory Membership organization for the U.S. futures industry. NFA's mission is to develop rules, programs and services that safeguard market integrity, protect investors and help our Members meet their regulatory responsibilities. NFA registers industry participants, examines commodity brokerage firms, enforces both NFA rules and the regulations of the Commodity Futures Trading Commission, educates the investing public and Member firms, and offers an arbitration and mediation program for investors and Members to resolve disputes. NFA has offices in Chicago and New York.

### **Staff Auditor II**

A Staff Auditor II's main responsibility is to support NFA's regulatory programs through audits, investigations and financial surveillance of NFA Members. Common duties include on-site examinations of a Member's books and records, analyzing its business and financial operations to ensure compliance with NFA's requirements, investigating customer complaints to determine whether a Member has violated any rules, and gathering evidence for possible disciplinary cases. A Staff Auditor II interacts with the investing public, as well as, senior staff and officers at NFA Member firms. In addition, a Staff Auditor II will execute advanced and technical audit programs and procedures as well as lead and supervise certain audit assignments.

**Requirements:** A bachelor's degree, which includes at least nine hours of Accounting and an Intermediate Accounting class or equivalent work experience in compliance and/or financial auditing

Strong analytical and problem solving skills, Strong oral and written communication skills, demonstrated ability to handle complex and challenging assignments, ability to travel 30 – 40% as part of a team. At least one year of directly related experience in a compliance, investigative or financial environment.

### **Audit Supervisor**

An audit supervisor leads a team of staff auditors during the on-site examinations of NFA Member firms. In addition to supervising audit planning, fieldwork and reporting, a supervisor reviews financial analysis, investigations, and other work performed by the staff auditors. Other duties include training staff auditors and assessing their performance by providing feedback and written evaluations. A supervisor also responds to questions posed by Member firms, industry professionals and the investing public.

**Requirements:** Bachelor's degree in business or equivalent work experience in compliance and/or financial auditing. 3 to 5 years of directly related experience in compliance, investigative or financial auditing. Futures industry experience preferred. Strong technical auditing skills. Strong analytical and problem solving skills. Strong oral and written communication skills. Demonstrated ability to handle complex and challenging assignments. Ability to work effectively in a team environment. Self-starter with high initiative. Ability to travel 25–40% as part of a team. Series 3 or equivalent financial industry experience. Previous supervisory experience beneficial.

### **Audit Manager**

An audit manager oversees the audits, financial analysis, investigations and other work of the audit staff and supervisors. A manager ensures key issues are identified and addressed and allocates resources to ensure an efficient workflow. Furthermore, a manager actively participates in the review of department and organizational functions and seeks opportunities to create new, innovative ways for enhancing productivity within the department. A manager also represents NFA through its educational initiatives and at other industry conferences.

**Requirements:** Bachelor's degree in business or equivalent work experience in compliance and/or financial auditing. 5-8 years of directly related experience in compliance, investigative or financial auditing. Futures industry experience preferred. Strong technical auditing skills. Strong analytical and problem solving skills. Strong oral and written communication skills. Demonstrated ability to handle complex and challenging assignments. Ability to work effectively in a team environment. Self-starter with high initiative. Ability to travel 25–40% as part of a team. Series 3 or equivalent financial industry experience. Possess an understanding of complex and sophisticated financial market issues. Previous supervisory experience.