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JOHN G. ULLMAN & ASSOCIATES, INC.

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COMPREHENSIVE FINANCIAL MANAGEMENT SERVICES

**Trading Assistant - Corning, NY**

John G. Ullman & Associates, Inc. is seeking a Trading Assistant to join our Firm. This is an essential position in our company, and will play an important role in supporting the company's strategic plans to grow and expand the business.

Working from the Corning Office, the Trading Assistant is a blended role within the Trade Department to assist the Equity and Fixed Income Trade Desks with Portfolio Management, Trade Compliance, and Project-based work and tasks.

The Trading Assistant will perform the following duties: portfolio management (rebalancing) – manage/track the review of all accounts; continuous monitoring of accounts that exceed targeted segmentation and then rebalance into acceptable ranges through buys and sells. Trade Compliance - utilize specialized software to test new rules as established to determine desired result; generate rules manager reports quarterly and distribute to Financial Advisors for review. Cash Requests - address cash requests for management fees, withdrawals, etc.; monitor and prevent trades from generating negative cash positions. Miscellaneous Trading – including Capital Additions, Pre-Trade Clearance, Special Projects, etc.; produce weekly reports for the Research and Investment Teams as needed; monitor price points on the BUY / SELL list; other special projects as needed

The successful candidate must have a Bachelor's Degree, or the equivalent in training and experience; a degree with a concentration in Finance or Accounting would be helpful, but we will consider other types of degrees; 1-3 years of experience working in the Financial Management industry would be helpful, but we will consider transferrable skills and experience as well; knowledge associated with the Series 6, 7, 63 licensing would be helpful; intermediate level of oral / written skills; proficiency in MS Office Suite (Outlook, Word, Excel); ability to learn and work with financial industry specific applications is required, experience with Bloomberg and Advent Suite (APX, MOXY) would be helpful; ability to work / contribute in a team environment; ability to manage multiple tasks simultaneously; fundamental knowledge of equity and fixed income markets, including trade and settlement process and pricing of securities would be helpful.

To Apply:

If you are interested in applying please e-mail a letter of interest and resume to Scott Schoonover, Director of Human Resources at [schoonovers@jgua.com](mailto:schoonovers@jgua.com). Please indicate you are applying for the Trading Assistant position and use reference code JGUA -Trade.