



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 Trade Compliance, Portfolio Management, and Project-based Work and Tasks.

The Trading Assistant will perform the following duties:

Trade Compliance – maintain Rules Manager Database; enter all requests as received; correspond with Financial Advisors on appropriateness of requests; communicate updates with Traders; utilize specialized software to test new rules as established to determine desired result.

Portfolio Management (rebalancing) – manage/track the review of all accounts; identify client segmentation targets on Risk and Industry; and assist Traders with rebalancing accounts.

Cash Requests – track daily cash requests for completeness by Traders; monitor and prevent trades from generating negative cash positions.

Miscellaneous Trading – including daily CEO holdings reports; security setup in Trading/Accounting systems; daily trade reconciliations; weekly reports for the Research and Investment Teams, as needed; monitor targeted price points; assist in written and verbal communications; cover Trade Team phones; and 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. Must have 1 to 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 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.

John G. Ullman & Associates, Inc. is a wealth management firm committed to bringing human connection, attention to detail and trust to every aspect of financial planning. For over 40 years, we have helped clients plan for a lifetime of financial security, creating highly customized financial plans to manage, grow, and protect our client's wealth. Our team has grown to include a diverse group of expert financial planners, tax professionals, investment researchers, legal professionals and support staff in three separate New York State Locations; including our headquarters located in Big Flats, NY; and branch offices located in Corning, NY and Rhinebeck, NY.

To Apply: please e-mail a letter of interest and resume to Scott Schoonover, Director of Human Resources at HR@jgua.com. Please use Reference # JGUA-TRADE