

## AGENCY TRADING LIAISON

**SMITH HAYES** opened for business in December of 1985. The Lincoln-based regional brokerage and investment banking firm was licensed to do business in 17 states. In the beginning, the firm's objective was to remain small, gather assets and to do a fee-based asset management business. The company started with three employees and now today has grown to over 85 employees. The firm has offices in Lincoln, Omaha and Columbus and is licensed to do business in all 50 states. Seven independent firms also clear their business through SMITH HAYES. Individuals, institutions, retirement plans and providing investment-banking services for municipal and corporate clients continue to remain the focus of SMITH HAYES.

**Job Title:** Agency Trading Liaison

**Department:** Operations

**Reports to:** Trading Principal

**FLSA:** Exempt

**Job Summary:** Responsible for obtaining Bids/Offers, New Syndicate allotments, SID Warrant distribution and processing trades on any fixed income product.

**Principal Responsibilities:**

- Obtain Bids/Offers on any fixed income product for brokers
- Process fixed income trades
- Obtain and distribute street offerings to brokers
- Offer New Syndicates from SMITH HAYES Public Finance to brokers
- Allot bonds and maintain inventory; balance trading accounts before settlement date
- Supply Official Statement count to Public Finance, send cusips to security master
- Offer new warrant offerings to brokers; process retail trades on warrants
- Maintain inventories of positions and balance General Fund and Construction Fund warrants
- Process secondary warrant positions from street to retail customer
- Process cross trades for Fixed Income by obtaining a cross level, process trades and mail out cross letters to be signed by customer
- Understand anti-money laundering rules and carry out procedures in compliance with such rules
- Support broker requests for bond ladders, swaps and portfolio evaluations
- Provide back up support as needed to equity, mutual fund and UIT Trading Specialist and Trading Principal

**Minimum Qualification:**

- Ability to work independently and effectively in pressure situations, and be highly organized
- 5 years experience in the financial services industry; 2 years in Equity/Fixed Income trading capacity
- Knowledge of MSRB/Trace Reporting
- Ability to effectively coordinate multiple tasks with time sensitive information
- Excellent communication skills with a diverse population.
- Strict attention to detail, accuracy, ability to manage multiple, time sensitive projects under stressful conditions
- Ability to provide exceptional customer service
- Associate's or Bachelor's degree in finance, business, or other related field
- Successful completion of the FINRA General Securities Representative (Series 7) Exam, Uniform Securities State Law Exam (Series 63), Municipal Securities Exam ( Series 53)
- Attendance and adherence to the company's attendance policy is an essential function of the job

We offer excellent benefits, company stock, bonuses and a friendly work environment. Email resumes to [kdehurst@smithhayes.com](mailto:kdehurst@smithhayes.com) or fax to 402-392-7833.

**SMITH HAYES**

Financial Services Corporation

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