



**Rockwood Energy Search LLC**

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## **Senior Compliance Specialist-Power and Natural Gas**

### **Recruiting Summary-Job 1752ws**

#### **Client Background:**

The client is one of the largest players in deregulated retail energy markets, and has some of the US's largest buyers among its clients. Backed by the assets of a major corporation, the marketing group continues to expand.

It is located in the metro New York area, with easy travel to a wide variety of commutable communities that offer a wide choice of housing and schools.

#### **Position: Senior Compliance Specialist**

The position is part of a growing compliance effort that reports into the corporate risk function.

Client is targeting a minimum of 7 years experience in the energy trading/marketing business, with working knowledge of applicable regulatory bodies such as FERC, NERC, CFTC, FTC. FERC and NERC are the current major focus.

#### **General Duties:**

The incumbent will provide a day-to-day compliance function for the Retail Energy Marketing group as well as provide transparency on regulatory matters to corporate.

#### **Responsibilities:**

Provide a day to day compliance function for the Business Unit (Energy Marketing) to ensure compliance with all applicable trading and operational rules and regulations of applicable physical and financial marketplaces.

Monitor futures, physical and financial trading activity to prevent and detect any non-compliant or abusive market behavior or operational practices

Assist with the development and implementation of effective monitoring controls, policies and procedures applicable to the Business Units transactional and operational activities

Keep abreast of current and changing market regulations of key oversight bodies. Application of key regulatory requirements of governing bodies to Business Unit activities such as natural gas transport, electricity generation and energy bidding, and trading of both natural gas and electricity

Provide regulatory and other compliance-related guidance and updates to Business Unit to ensure continued rule compliance

Provide compliance input as part of review of business unit wholesale transactions including AMAs, EMAs, tolling arrangements, etc. as applicable

Actively participate in on-going Compliance Monitoring initiatives and other projects, as applicable

Conduct compliance investigations as necessary

Conduct customer reviews related to Know Your Customer program as necessary

Interact with other Corporate Risk Controls groups for knowledge gathering and issue resolution as required

## **Qualifications**

5-7 years experience in the energy or commodity trading industry with specific experience in a compliance, regulatory or operations role.

Degree in economics, finance or related field required

Knowledge of physical energy markets, in particular natural gas and electricity required

Working knowledge of applicable regulatory bodies such as FERC, NERC, CFTC, FTC and associated regulations. ISOs/RTO knowledge a plus.

Familiarity with utilization of analytic tools including Tableau or other similar programs. Knowledge of SQL a plus

Superior interpersonal and communication skills are essential

Excellent analytical, organizational and writing skills are a must

## **Executive Search Contact:**

Send resume to [resumes@rockwoodsearch.com](mailto:resumes@rockwoodsearch.com) citing the job number.

February 6, 2012

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