



Company Overview:

We are a fast-growing, venture-backed tech company at the forefront of innovation in capital markets. We're looking for passionate individuals with a growth mindset to join us on our journey.

Job Summary:

We are seeking a Compliance Associate to join our growing Legal & Compliance team. Reporting directly to the Chief Compliance Officer, you will play a pivotal role in supporting and scaling OneChronos' compliance framework as we continue to evolve our marketplace for equities trading and expansion into new asset classes and jurisdictions.

This position offers a unique opportunity to work at the intersection of technology and finance, contributing to the regulatory and operational integrity of a cutting-edge ATS. You will assist in ensuring adherence to applicable securities laws, SRO rules, and internal policies and procedures, while helping shape new policies as our business grows.

Key Responsibilities:

- Assist in the implementation, monitoring, and maintenance of OneChronos' compliance policies and procedures.
- Support regulatory filings, including Form ATS and other submissions.
- Coordinate responses to regulatory inquiries and examinations (e.g., FINRA, SEC).
- Support employee compliance programs, including personal trading surveillance, and training.
- Work with teams across jurisdictions and asset classes to coordinate policies.
- Track regulatory developments relevant to our business and update internal policies.
- Maintain organized records and documentation to support audits, regulatory requests, reviews, and internal reporting.
- Contribute to risk assessments and control testing.

Qualifications:

- 2–5 years of experience in a compliance, legal, or regulatory role at a broker-dealer, ATS, equities exchange, or related financial institution.
 - Familiarity with U.S. securities regulations, including the Securities Exchange Act of 1934, Regulation ATS, and FINRA rules.
 - Strong organizational skills and attention to detail.
 - Excellent written and verbal communication skills.
 - Ability to work independently and collaboratively across teams.
 - Demonstrated integrity and discretion with sensitive information.
 - Willingness to take FINRA licensing exams, as needed.
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Preferred Qualifications:

- Experience with control frameworks and compliance tools.
 - Prior experience supporting regulatory exams or audits.
 - Interest in technology, markets, and regulation.
 - FINRA Series 14 or 7 and 24 licenses (plus, not required).
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What We Offer:

- Competitive salary and equity options.
 - Comprehensive health, dental, and vision insurance plans.
 - Flexible work environment with remote work options.
 - Opportunity to make a significant impact on the company's growth trajectory.
 - Professional development opportunities and career growth.
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This role requires several days per week in office, at our Headquarters in Soho, NYC.

Salary range: \$145,000-\$185,000 with eligibility for a discretionary annual bonus. Actual base pay is subject to change, and is dependent upon a number of factors, including work experience, skills and training.

All qualified applicants will receive consideration for employment without regard to race, color, religion, sex, national origin, age, disability, genetic information, veteran status, or any other characteristic protected by applicable law.