

## Position Description

Title: Compliance Specialist

Reports to: Compliance Manager, CEO

Classification: Salaried Exempt

Benefits: Medical, Dental, Vision, Life, FSA, 401(k), Paid-Time Off, Paid Holidays

## Job Summary

The Compliance Specialist will support the Compliance department in all aspects including, but not limited to risk management, compliance testing, regulatory filing, compliance programs, internal controls, and to minimizing the risk to the firm and its clients. This individual will develop, manage and maintain compliance policies and procedures while maintaining current knowledge of all laws and regulations as they relate to investment advisory services.

## Duties and Responsibilities

The Compliance Specialist can expect to focus in the following areas:

- Provide assistance and work with advisory personnel, industry examiners, outside auditors, clients, law firms, and financial institutions as necessary.
- Develop and maintain a compliance training program for all staff and advisors.
- Ensure published materials are updated and reflect current regulatory and legal requirements.
- Review marketing materials including, but not limited to advertising, brochures, etc.
- Review and approve website content.
- Review email and other advisor communication channels.
- Enhance and maintain investment advisory policies and procedures and disclosures.
- Research compliance deficiencies and assist in developing and implementing corrective action.
- Research and stay up to date on federal, state and financial services laws and regulations to maintain accurate knowledge of current laws and regulations.
- Review the firms Compliance handbook to ensure all information is accurate and up to date according to current laws and regulations.
- Provide support with respect to regulatory issues and filings and prepare and file regulatory forms and

- Provide compliance consulting services to outside RIA clients of the firm.
- Participate in staff meetings to train and update staff on changing laws and regulations.
- Facilitate risk assessment and compliance reviews, prepare annual review reports, establish and implement investment advisory compliance and surveillance processes and testing.
- Participate in identifying compliance issues and work closely with appropriate departments for resolution.
- Conduct reviews of various agreements related to the firms' advisory business and make updates as necessary.
- Attend and participate in industry conferences and seminars as necessary for continuing education purposes.
- Other responsibilities as assigned.

## Requirements and Qualifications

- Bachelor's degree from an accredited college or university in Finance, Accounting or Business-related field.
- Minimum 5 years compliance experience.
- Series 65 or both Series 7 & 66.
- Extensive knowledge of concepts, practices and procedures of the securities industry, preferably in the investment advisory business with a focus on registered investment advisers.
- Strong organizational and project coordination skills with the ability and experience to handle and prioritize multiple assignments and conflicting deadlines, while providing a high level of client service.
- Ability to work effectively under pressure with tight deadlines, with attention to detail, and the ability to handle conflict and negotiate resolution.
- Ability to be responsible for confidential and time sensitive material.
- Proficiency with windows-based software (e.g. Word, Excel, and PowerPoint) and Outlook is required.
- Excellent written and verbal communication skills – clear, concise and organized.
- Ability to work in a team-based environment, proactively covering and sharing task responsibilities with other team members.
- Be self-motivated, show initiative and creativity in all aspects of work (e.g. creating new methods to streamline tasks).
- Work independently with little supervision and knows when to ask for guidance, clarification, assistance.
- Possess a high level of professionalism, confidentiality, discretion and judgment.
- Team player, with strong coaching and listening skills
- Desire/ability to work successfully in a small company environment.