

COMPLIANCE / OPERATIONS MANAGER

General Description:

In this hybrid role, you work directly with the Chief Compliance Officer (CCO) and oversee the general back-office operations of the firm. You are responsible for managing the operational aspects of our compliance program, including adhering to regulations and internal written supervisory procedures. You coordinate with our operations associates to satisfy compliance requirements. You should be comfortable recommending new policies and procedures as needs are identified. This role is highly integrated and works closely with multiple areas in the firm. You are viewed as a key resource and are central to our ability to meet our regulatory obligations while facilitating the service we offer to clients.

Responsibilities:

This position requires strong prioritization and time-management skills. The duties are broad in range and cover everything from high-level compliance program design and operations leadership to routine asset movement approvals and trade reviews. Examples of tasks include:

- Act as liaison with Compliance Consulting firm(s)
- Support Chief Compliance Officer (CCO)
- Facilitate, along with consulting firm and CCO, any Regulatory Exams (Audits)
- Coordinate with employees to meet needs and provide support & guidance
- Perform routine compliance duties with support and training from CCO, to include reviewing transactions, approving new client accounts, maintaining necessary blotters, preparing regulatory filings, updating annual documents and disclosures, facilitating audits and exams, and other general compliance operations to meet the written supervisory procedures of the firm
- Oversee and guide back-office operations, to include managing operations processes, solving escalated issues, providing training, and other key operational responsibilities

Recommended Pre-Requisites:

- Undergraduate degree
- Five or more years in the industry
- Experience in Financial Services Operations or Compliance
- Series 7 and Series 66 licenses (or 63 and 65) or equivalent knowledge, with ability to acquire the Series 24 if not already held