

Job Description: Compliance Officer

Location: Major Financial Markets

Company Description

CORE-CCO Services, LLC (*Core*) is comprised of a team of former SEC regulators, seasoned private fund experts, certified AML/KYC specialists, IT-proficient staff, and professional compliance consultants. We serve as an extension of our clients' in-house compliance team to provide the regulatory and compliance expertise firms need and that institutional LPs and regulators expect. We assign a dedicated team that works proactively with each client, getting to know and understand their business to design, implement, and administer an effective compliance solution. We provide proactive high-touch compliance expertise and services to leading and emerging private fund managers. Our clients include private equity funds, real-asset funds, hedge funds, venture capital funds, real estate funds, oil and gas funds, other alternative investment funds, and select family offices and private wealth managers. *Core* is a subsidiary of Standish Management, a leading global private fund administrator.

Opportunity

The Compliance Officer will work as an integral part of client teams together with Senior Compliance Officers, Compliance Associates and Analysts to deliver exceptional compliance services. The Compliance Officer will have extensive interaction with clients and will develop a deep knowledge of client businesses to provide compliance expertise and high-touch, customized and proactive compliance services that enable clients to focus on their areas of expertise and leverage *Core* to build and administer a strong compliance program. The Compliance Officer will work collaboratively with his/her dedicated client service team to conduct, prepare, and deliver compliance program monitoring and testing, annual compliance reviews, compliance manuals, risk matrices, compliance training, compliance program documentation, and regulatory filings.

The Compliance Officer will be called upon to analyze and summarize new regulatory developments, develop and deliver compliance training tools, and participate in client development activities. The Compliance Officer will work closely with senior management and other compliance professionals within *Core* to expand his/her knowledge and expertise of the private fund industry and investment adviser regulatory and compliance requirements. The Compliance Officer will have opportunities to grow and advance within the firm as his/her knowledge, skills, experience, and enthusiasm permit.

Position Summary

Compliance Officer candidate must have 3-7 years of compliance and regulatory experience in the Investment Advisers Act and federal securities laws, as well as strong working knowledge of the private fund industry and compliance needs of private fund managers. The position requires excellent writing skills, communication skills, critical thinking skills, a proactive diligent work ethic, and the ability to effectively participate in and/or lead client meetings, represent *Core* professionally and engender confidence and good will with clients. The position requires attention to detail, excellent organizational skills, time and workflow management, and the ability to work effectively on multiple client engagements concurrently. The ideal candidate will need to be able to quickly shift from one client to another and stay organized and focused.

This position requires both the ability to work independently with limited supervision and the ability to work collaboratively with the *Core* team of compliance professionals. A *Core* Compliance Officer will further be responsible for collaborating with and helping to train, develop and mentor other *Core* team members, sharing his/her experience, skills and interests, and learning from others regarding their experience, skills and interests. The candidate needs to be a responsible, self-starter who can organize and complete client work within required deadlines pursuant to *Core* standards and client commitments. The candidate must anticipate client and *Core* needs and work proactively to meet such needs.

Training & Development Resources

Core Compliance Officers will have at their disposal a full suite of resources and tools to ensure current and comprehensive knowledge of private funds, relevant legal and regulatory requirements, as well as **Core** compliance and client service processes, and other critical skills. **Core**'s comprehensive resources include personalized and collaborative training and development with highly experienced former regulators and private fund compliance experts and **Core** colleagues on 1) private funds structures and operations; 2) SEC regulation, rulemaking developments, examinations and enforcement; 3) SEC regulatory and filing requirements for investment advisers and private funds; 4) adjacent and supplemental regulatory requirements; 5) new developments and hot topics in regulation and compliance; and 6) critical professional skills. In addition, **Core** Compliance Officers have access to a full library and toolbox of compliance modules, document templates, operating policies and procedures, internal and client facing training materials, and instructional resources.

Qualifications Required

- Bachelor's degree mandatory. Graduate level education is a plus.
- Excellent communication skills, a proactive diligent work ethic, and the ability and desire to work collaboratively in a team environment.
- Proficient in Microsoft applications including Outlook, Word, Excel, and PowerPoint, with aptitude to learn new software and systems as needed.
- Ability to work in a fast-paced environment, service multiple clients, demonstrate effective time/task management, and meet strict deadlines.
- Ability to handle confidential information, work with limited supervision, and collaborate with compliance team members.
- Strong working knowledge of the investment management and private fund industry, regulatory and compliance environment, and general knowledge of accounting principles.
- Strong organizational skills, significant attention to detail, and solid ability to develop and maintain Excel spreadsheets and manage, organize, and analyze data and information.
- Ability to follow instruction and complete tasks in a timely manner, seeking additional clarification and guidance as needed.
- Ability to work proactively to identify tasks/projects needed to provide a high level of service.
- Ability to take initiative and responsibility for completing tasks without being instructed.
- Financial and accounting experience is a plus.
- Proficient with EDGAR and IARD systems is a plus.

Compensation and Benefits

- Competitive pay (commensurate with candidate's education and experience)
- Potential incentive compensation based on business development & profitability
- 401(k) retirement plan with employer matching
- Health / Dental / Vision Insurance
- Other insurance options, tax-preferred programs and employee benefits
- Generous paid time off

Schedule and Work Environment

- 8:30am – 5:30pm Monday to Friday
- Professional **Core** or Standish office setting
- Some periodic travel required, primarily within United States
- Opportunity to participate in industry associations and networking events