

Job Description: Senior 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 Senior Compliance Officer will work as an integral part of the *Core* senior management and strategically with the Standish team to build, grow, and maintain a best in class specialized compliance service offering and organization. Will lead a team of Compliance Officers, Compliance Associates and Analysts to deliver exceptional compliance services. The Senior 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 Senior Compliance Officer will ensure client service teams conduct, prepare, and deliver effective compliance program administration, compliance manuals, risk matrices, monitoring, testing, annual compliance reviews, compliance training, compliance program documentation, and regulatory filings.

Senior Compliance Officers will build and maintain expertise by analyzing private fund industry developments, relevant SEC and other regulatory and enforcement developments, and regulatory compliance best practices. The Compliance Officer will have opportunities to grow and advance within the firm as his/her knowledge, skills, experience, and enthusiasm permit.

Position Summary

Senior Compliance Officer candidate must have 10+ years of compliance and regulatory experience in the Investment Advisers Act and federal securities laws, as well expert knowledge of the private fund industry and compliance needs of private fund managers. Senior Compliance Officer will serve in a strategic leadership role responsible for helping lead and grow *Core* regulatory and compliance services and business operations. Responsible for building and overseeing a book of business, leading client service teams to effectively service client engagements, serving as relationship manager to clients, overseeing and ensuring delivery of all client work product pursuant to Company standards, and providing strategic guidance, oversight and expertise to clients, client teams, business partners, and other constituents. Other key leadership and management responsibilities include (a) client team oversight; (b) regulatory and compliance expertise; (c) product development and enhancements; (d) industry and service provider networking and relationships; (e) SEC and regulator relationships; and (f) other duties as requested by the Company.

This position requires the ability to work proactively and independently and also to work collaboratively with clients, outside counsel and other service providers, as well as *Core* and Standish team members at all levels to effectively build, grow, and retain business. Senior Compliance Officer will be responsible for helping recruit, train, develop, and manage *Core* team members. Responsible for ensuring client work is completed within required deadlines pursuant to *Core* standards and client commitments.

Training & Development Resources

Core Senior Compliance Officers will have at their disposal and will help to develop and deliver 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, Senior Compliance Officers will have access to and help develop and maintain 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.
- Leadership experience developing, evaluating, motivating, equipping, and overseeing effective teams and organizations.
- Commitment to and willingness to embrace **Core** and Standish mission, values, and culture.
- 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, overseeing multiple staff, servicing multiple clients, demonstrating effective time/task management, and meeting strict deadlines.
- Professional discretion and judgement to effectively handle confidential information, collaborate with clients and service providers, as well as **Core** and Standish team members at all levels.
- Expert knowledge of the investment management and private fund industry, regulatory and compliance environment, and general knowledge of accounting principles.
- Expert ability to analyze and apply regulatory developments and requirements based on client business models and activities.
- Strong organizational skills, attention to detail, knowledge and ability to direct client teams, and ensure delivery of quality work product.
- Ability to proactively establish, track, and achieve goals, projects, and tasks needed to ensure **Core** success.

Compensation and Benefits

- Competitive pay (commensurate with candidate's education and experience)
- Potential incentive compensation based on business development & firm 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