

Job Description: Senior Compliance Associate**Location: Boston, MA/Dallas, TX**Company Description

Standish Compliance Services, LLC. (Standish Compliance) 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. Standish Compliance is a subsidiary of Standish Management, a leading global private fund administrator.

Opportunity

Senior Compliance Associates work as an integral part of client teams together with Senior Compliance Officers, Compliance Officers and Compliance Associates to deliver exceptional compliance services. Senior Compliance Associates must have an advanced understanding of the private fund industry and regulatory and compliance requirements for private fund managers. As part of a team of private fund compliance experts, Senior Compliance Associates have the unique opportunity to continue to learn and develop expertise regarding the financial services industry and SEC compliance practices from veteran SEC and industry experts, mid-level seasoned compliance professionals and dedicated junior team members in an inviting and rewarding atmosphere. Standish Compliance is a fast-paced, high-energy firm where Senior Compliance Associates have opportunities to grow and advance within the firm as their knowledge, skills, experience, and enthusiasm permit.

Senior Compliance Associates must pass required testing to demonstrate their regulatory and compliance expertise and skills. Further, Senior Compliance Associates are called upon to study and understand new regulatory developments, assist with the development of compliance tracking tools, and participate in client development activities. Senior Compliance Associates work closely with senior management and other compliance professionals to expand their knowledge and expertise of the private fund industry and investment adviser regulatory and compliance requirements.

Position Summary

The Senior Compliance Associate candidate must:

- Serve as part of Standish Compliance client service teams and work together with others to help organize and deliver exceptional compliance services.
- Work closely with the Standish Compliance team to learn clients' businesses and compliance programs and ensure compliance with applicable regulatory and compliance requirements.
- Be proficient in creating and maintaining compliance calendars, checklists, logs, and reports, administering employee compliance reporting utilizing various Code of Ethics reporting systems, monitoring firms' compliance with policies, procedures, and regulations.
- Be skilled in preparing and reviewing applicable regulatory filings, including Form ADV, Form PF, Form D, Blue Sky Filings, Form 13F, Form 13H, and Form N-PX.
- Perform comprehensive electronic communication, social media, and political contribution reviews with minimal supervision.

- Participate in drafting, reviewing and presenting compliance manuals, annual review reports, compliance training and other guidance materials.
- Operationalize projects, such as firm migration onto new compliance reporting systems.

Training & Development Resources

Standish Senior Compliance Associates will have at their disposal a full suite of resources and tools to ensure current and comprehensive knowledge of private funds, legal and regulatory requirements, and Standish Compliance and client service processes, and other critical skills. Standish Compliance's comprehensive resources include personalized and collaborative training and development with highly experienced former regulators and private fund compliance experts and Standish Compliance 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 topics in regulation and compliance; and 6) critical professional skills. In addition, Senior Compliance Associates 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 is mandatory. Advance degree is preferable.
- In-house, regulatory, compliance or consulting experience in the investment management and private fund industry with good understanding of accounting principles.
- Excellent communication skills, a proactive diligent work ethic, and the ability and desire to work collaboratively in a team environment.
- Proficiency in Microsoft applications including Outlook, Word, Excel, and PowerPoint, regulatory filing systems, IARD, PFRD, EDGAR, EFD, experience utilizing a CRM or project management system, and aptitude to learn new software and systems as needed.
- Ability to work in a fast-paced environment, supporting multiple team members and client service teams, utilizing effective time/task management to meet strict deadlines.
- Ability to handle confidential information and work with limited supervision.
- Strong organizational skills and attention to detail.
- Ability to develop and maintain Excel spreadsheets and manage, organize, and analyze data and information.
- Ability to work independently and as part of a team, follow instruction, and complete tasks in a timely manner, seeking additional clarification and guidance as needed.
- Ability to work proactively to identify tasks and projects needed, track and complete action items, respond promptly to questions and requests, and ensure a high level of client service.
- Ability to take initiative and responsibility for completing tasks without being instructed.
- Ability to quickly shift from one client to another and stay organized and focused.

Compensation and Benefits

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

Schedule and Work Environment

- 8:30 am - 5:30 pm Monday to Friday
- Professional in-office setting with some remote work after training
- Minimal travel required