



**Job Posting - Compliance Consultant
(Updated 9/10/2021)**

Overview

RIA Compliance Consultants, Inc. provides consultations, tools, training and a compliance community for investment adviser firms located throughout the world. During the past 17 years, RIA Compliance Consultants has assisted well over one thousand investment adviser firms meet their regulatory obligations and fiduciary duties. We are passionate about helping investment adviser firms build and maintain robust compliance programs so that they can do the right things for their clients.

Job Opportunity

We are currently looking for a Compliance Consultant who can assist RIA Compliance Consultants with performing annual reviews of compliance program and mock regulatory exams of our investment adviser clients. This is a full-time position (40 hours per week) that can be performed from a remote location within the United States of America. (However, this position cannot be performed in certain jurisdictions such as the State of California and the District of Columbia.) Our team works Monday – Friday and each team member sets his or her work schedules between the hours of 6:00 a.m. – 6:00 p.m. U.S. Central Time.

We offer competitive salaries, benefits (e.g., 401k plan, retirement contribution matching by company up to 4% of salary, short and long-term disability, life insurance, health insurance), personal time off, sick leave and paid holidays, reimbursement of certain costs associated with obtaining and/or maintaining the Investment Adviser Certified Compliance Professional (IACCP) or Certified Securities Compliance Professional (CSCP) and a great team of people you can be proud to work with every day.

Our Team & Values

Successful team members are tech-savvy and have a passion about helping investment advisers with compliance. We take pride in our work and hold ourselves and each other to high standards.

We take initiative and problem solve on our own, but also recognize when to ask for help. We also believe in having lives outside of work.

All our team members should share our core commitment to these values:

1. Helping Investment Advisers Do the Right Things for Their Clients – Meeting Regulatory Requirements and Acting in Accordance with Fiduciary Duties

2. Building a Community of Investment Adviser Compliance Professionals
3. Learning and Teaching Compliance
4. Working Together as a Team
5. Doing Great Work that Supports a Great Life

Your Role & Responsibilities

You are expected to represent RIA Compliance Consultants in a professional and positive manner. In this position, you will have the following areas of responsibility which need to be performed with a high-level attention to detail in an organized and thoughtful manner while strengthening our relationship with each investment adviser client:

- Annual Compliance Reviews (approximately 25% of your time) – You will assist (offsite) the Senior Compliance Consultant with performing an annual review of the compliance program for our investment adviser clients. You will review the Form ADV Part 1, the Form ADV Part 2A disclosure brochure, Form ADV Part 2B supplement brochures, Form ADV Part III client relationship summary and compliance policies and procedures and prepare written memorandum identifying any inconsistencies, inadequate disclosures or deficient policies and/or procedures. You will assist the investment adviser client in completing the annual review interview via RIA Express – Compliance Review and answering any questions about deficiencies or recommended best practices. You will draft the initial annual review report.
- Mock Regulatory Exams (approximately 25% of your time) – You will assist (offsite) the Senior Compliance Consultant with conducting a mock regulatory exam for our investment adviser clients. You will help devise the document request list based upon actual regulatory exams applicable to the investment adviser firm and an assessment of the regulatory risks associated with the investment adviser firm's business model, Form ADV, regulatory history and supervised persons. You will review the documents produced by the investment adviser client to verify consistency with disclosures and compliance policies and procedures and whether compliance policies have been implemented adequately and are effective in complying with the Investment Advisers Act of 1940 as amended or state securities act. You will prepare a summary of possible issues and follow-up questions and documents for use by the Senior Compliance Consultant. You will participate (offsite) in the interviews with the investment adviser firm's supervised person. You will prepare the initial draft of the mock regulatory exam report identifying deficiencies and best practices for the Senior Compliance Consultant's review and finalization.
- IARD Renewals & Annual ADV Amendments (approximately 25% of your time) – You will assist the Senior Compliance Consultant with renewing investment advisers' registrations and preparing Form ADV Annual Amendments.
- Review Advertising (approximately 10% of your time) – You will review advertisements, marketing materials, websites, social media and other materials submitted by investment adviser clients for compliance with the Investment Advisers Act of 1940 and/or the state

securities act. You will prepare specific comments regarding the submitted materials and a review memorandum explaining the general issues.

- Self-Guided Compliance Reviews (approximately 10% of your time) – You will provide training and answer questions of investment adviser clients who are conducting self-guided reviews of compliance programs via RIA Express – Compliance Reviews.
- Compliance Training (approximately 5% of your time) – You will assist in researching, preparing and presenting compliance training .

Your Experience, Skills and Personality

- High-Level of Attention to Details and Excellent Analytical Skills
- Experience in Researching Securities Regulations
- Strong Organization Skills with the Ability to Manage Multiple Projects on a Simultaneous Basis
- Ability to Prioritize Tasks
- Skilled at Writing Detailed Letters, Emails, Memorandums, Reports, Compliance Manuals and Disclosure Language
- Working Knowledge of Investment Adviser Business Practices and Regulatory Requirements
- Desire to Learn New Investment Adviser Business Models, Regulations and Risks
- Strong Passion to Help Investment Advisers Build and Implement Effective Compliance Programs to Meet Regulatory Requirements & Fiduciary Duty
- Desire to Achieve Specific Data-Driven Metrics and Flexibility to Adjust Course to Ensure Goals Are Accomplished
- Commitment to Improving RIA Compliance Consultants and Its Systems and Processes
- Ability to Work with a Distributed Team Including Using Technology to Regularly Communicate and Collaborate with Team Member
- Team Oriented & Willing to Pitch-In with Work Outside of Assigned Areas of Responsibility
- Strong Ability to Speak in Public Setting About Investment Adviser Compliance
- Undergraduate Degree (or Extensive Industry & Compliance Experience with Multiple Securities Exams or Relevant Professional Designation)
- Prefer Successful Completion of Series 65 or Series 66 Examination or the Investment Adviser Certified Compliance Professional (IACCP) or Certified Securities Compliance Professional (CSCP)
- Prefer Previous Experience Utilizing the IARD System; Drafting the Form ADV and Conducting Reviews or Examinations of Investment Advisers
- At Least 5 Years of Experience Working for Investment Adviser, Broker-Dealer or Securities Regulator
- At Least 3 of 5 Years of Experience Should Be Working in any of the following areas: Compliance, Internal Audit, Licensing and/or Supervision of a Financial Services Company or for a Securities Regulator
- If You Are Working from a Remote Location, a Designated Professional, Quiet, Private Space and a Fast and Reliable Internet Connection
- Available to Travel (on 2 Occasions per Year) for a Visit to the Offices of a RCC Client

- If You Are Working from a Remote Location, Available to Travel (on 2 Occasions per Year) to Our Annual Investment Adviser Compliance Conference or Home Office
- Full COVID-19 Vaccination Is Required (Subject to a Medical/Religious Exception Process)
- Subject to a Confidentiality and Non-Solicit Agreement

Application Process

- Email your resume to jobs@ria-compliance-consultants.com
- Posting closes Monday, September 13, 2021. We will conduct interviews in August and early September. We plan to make an offer by no later than end of September.