**Compliance Director (New York, NY):**Our client, a successful investment management businesswith over $2B in assets, has created a new role for an individual to assist with the design, maintenance, and implementation of a compliance program.  This is an ideal position for an individual with a strong background in regulatory compliance to join a lean team in a highly visible role within a flat organization.

**Key Points:**

·         Newly created role offering this individual an opportunity to have a strong impact on the organization’s compliance program

·         Firm boasts an impressive track record and has an excellent GC/CCO who will serve as a tremendous mentor

**Responsibilities:**

·         Support management in achieving business objectives while managing regulatory, compliance, legal and reputational risk

·         Manage (and assist in the development of) robust risk identification and compliance testing programs, including: risk matrixing, compliance testing, investigating causes of unusual trends or activities, email surveillance, and implementing systems for tracking regulatory filings

·         Prepare regulatory filings; provide compliance monitoring and testing related to Rule 206(4)-7

·         Provide situational and ongoing advice to the Executive Committee on compliance with laws and regulations, monitor business line performance with compliance, and alert the CCO and the Executive Committee to actual or potential compliance gaps and issues

**Qualifications:**

·         5+ years of investment adviser regulatory compliance experience, with the ability to read, interpret, comprehend and explain complex subjects including applicable regulations

·         Experience with private investment funds; knowledge of investment strategies and operations, and direct experience with investment advisor operations

·         Bachelor degree (or its foreign equivalent) required

·         Strong analytical and problem-solving skills; demonstrated project management skills