**Compliance Officer (New York, NY)**: Our client, a successful private equity firm with over $10B in committed capital, is looking to bring on a motivated compliance professional to join their NYC team.  This is an opportunity to join a cohesive team of bright individuals and assist across all aspects of their program.  Individual will have the opportunity to take ownership of some of their international compliance matters, working closely with the firm’s outside counsel in those jurisdictions.

**Key Points:**

* Individual will have the chance to take on more and more responsibilities as they gain familiarity with the firm, the compliance department, and have a strong handle on their day to day work
* Working on a dynamic team under two seasoned professionals who are excited about a new addition to their group
* Business is incredibly stable and the legal/compliance team is comprised of very bright individuals – this new hire will be elevated by the team surrounding them

**Responsibilities:**

* Review marketing materials
* Work with the firm’s outside compliance consultants and legal counsel
* Assist with international office compliance obligations
* Administer the firm’s compliance and code of ethics program, including administering firm systems for employee personal trading, political contributions, gifts and business entertainment reporting
* Maintain and update the firm’s compliance calendar
* Perform compliance testing and email surveillance; document testing results
* Coordinate with the firm’s deal team on compliance matters as it relates to investment activities (ESG due diligence, background checks)
* Prepare regulatory filings
* Administer the firm’s Environmental, Social and Governance (ESG) program
* Prepare and respond to periodic investor requests including due diligence questionnaires and other certifications

**Qualifications:**

* 3-6 years of related compliance experience with a private equity or venture capital firm is strongly preferred but will consider similar financial institutions (hedge funds, asset managers, compliance consultants)
* International compliance experience preferred but not required
* Familiarity with applicable law, rules, and regulations for investment advisers (Investment Advisors Act of 1940, “Pay-to-Play” rules, insider trading laws etc.)
* Exceptional attention to detail and organizational skills; comfortable working efficiently and effectively on multiple deadlines
* Team player, with the ability to take initiative on new projects; must have a professional demeanor with a long-term interest in compliance