



Chief Compliance Officer

Location: Los Angeles

Post Advisory Group, a multi-strategy asset manager, is seeking a Chief Compliance Officer (CCO) to oversee and enforce the overall compliance and regulatory affairs of the firm including its risk management practices. The person in this role will be responsible for ensuring the business complies with regulatory environments, ethical business practices, and firm policies. The position reports to the COO of the firm.

Responsibilities

- Develop, maintain, and oversee the execution of internal review mechanisms and forensic testing. Ensure that policies and procedures implemented are effective and being adhered to by employees. Address, communicate and resolve compliance exceptions as needed, including trade errors, guideline and restriction breaches, code of ethics violations, etc. Provide leadership and direction on compliance, regulatory and best practice matters within the firm. Work with staff, regulatory agencies and/or outside legal staff to research and resolve compliance problems and/or to respond to regulatory inquiries, examination requests, etc.
- Supervise and perform oversight and testing of the firm's compliance program, including brokerage, best execution, allocation, insider trading and related matters. Perform manual tests as needed in areas such as ERISA party in interest investments.
- Analysis and interpretation of applicable laws and regulations. Oversee and monitor the implementation of procedures to address new regulatory rules and requirements.
- Handle new account intake process and modification of existing clients, including reviewing contracts, ensuring documentation and terms conform to regulatory requirements and firm standards.
- Monitor compliance with client investment guidelines with the Charles River Compliance System and other internal reports and maintain guideline database.
- Review marketing collateral, product and communication material for accuracy and compliance with applicable rules and regulations.
- Prepare responses to client compliance questionnaires and other compliance diligence requests.
- Prepare and maintain the filing of the firm's Form ADV and assist with the preparation and review of various other regulatory filings.
- Act as liaison with internal audit, federal and state regulators and industry associations. Develop and maintain relationships and communication with compliance counterparts. Maintain involvement with internal audit issues and other financial management issues as necessary.



Requirements

- Bachelor's degree or equivalent experience required. Advanced degree preferred.
- 10-15 years of relevant industry experience with registered investment adviser (RIA).
- Must have thorough understanding of compliance related issues affecting the asset management industry and general securities laws. Strong understanding of investment adviser industry with a focus on fixed income securities and markets.
- A thorough understanding of both worldwide and U.S. securities laws, including the Investment Advisers Act of 1940 and Investment Company Act of 1940.
- Ability to comprehend and apply other applicable laws and regulations, including those governing ERISA clients and operations in non-U.S. jurisdictions.
- Knowledge of ERISA regulations for investment advisers and knowledge of GIPS a plus.
- Proficiency using Bloomberg and Charles River Trading Systems.

Application process:

Please submit your resume and cover letter for review via email to Misha Uber (Misha@ubersearchpartners.com).