



## Compliance Consultant

***Both entry level and experienced candidates may apply. Position is permitted to work from home. However, must be willing to travel to Newtown, PA.***

### RESPONSIBILITIES

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- Register clients as investment advisers with the appropriate regulatory bodies
- Provide day-to-day support in the development, implementation and maintenance of compliance programs for a variety of registered investment advisers, including but not limited to:
  - Development and implementation of compliance policies and procedures - ensure compliance policies and procedures are effectively communicated to client, in accordance with the Firm's regulatory requirements;
  - Conduct annual compliance reviews;
  - Prepare and deliver compliance training;
  - Prepare and submit annual and quarterly regulatory filings;
  - Monitor employee personal trading and electronic communications;
  - Review and approve advertising materials from client;
  - Prepare and maintain employee disclosure forms and assist client in organization and maintenance required books and records;
  - Continuously monitor relevant regulatory changes and assist clients in developing internal controls, accordingly.
- Assist in conducting mock regulatory exams;
- Assist in providing SEC exam support.
- Research and answer investment adviser related compliance questions from clients
- Draft, edit, and proof Form ADV, compliance manuals, compliance calendars, and other compliance and/or legal documents, letters, and memos
- Interact with clients and regulators/examiners to fulfill requests, find resolution to deficiencies, or answer questions
- Work with the various on-line regulatory systems to track, manage, and/or submit information to state or federal agencies
- Possible travel to clients with a senior member of the firm to conduct meetings, mock audits, or for general relationship management. Travel could also be for marketing events
- Other projects or tasks as needed.

## OUR FIRM AND VALUES

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- Swayze manages from the bottom up, putting employees first because without the frontline, Swayze would be nothing.
- We value flexibility and work-life balance. We take our quality of life as seriously as the quality of our work.
- We are team who learns from one another and enjoys continually learning to deliver the best service possible to our clients.

## QUALIFICATIONS & SKILLS

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A qualified entry level candidate **must** have the following to apply:

- Bachelor's Degree, preferably in a related field.
- Microsoft Office Proficient
- Ability to manage and prioritize multiple projects
- Extremely analytically and detail oriented
- Able to work independently with little day-to-day supervision, yet still follows organizations guidelines
- Highly service oriented
- Communicates in a direct and proactive manner
- Strong team player, willing to share ideas
- A quiet space available to work, with reliable internet access

An experienced candidate may have one or more of the following:

- Juris Doctor
- Series 65, or 66 and 7
- Understanding of the Investment Advisers Act of 1940
- Experience in Financial Services serving as a CCO
- 3+ years experience serving as a Compliance Consult

## COMPENSATION AND BENEFITS

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- Compensation will vary on level of experience,
- Discretionary bonus which depends on the success of the firm
- Excellent Medical, Dental, and Vision, Life, Flex Accounts, 401(k)
- Paid Vacation Time Available