



Compliance Consultant

Both entry level and experienced candidates may apply.

RESPONSIBILITIES

- 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

- 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

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

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

- Juris Doctor with experience in Securities Law
- 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

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