



PINE ADVISOR SOLUTIONS

PINE Advisor Solutions, a Denver-based outsource solution for funds and investment managers is seeking qualified candidates to join our growing firm.

Position Overview: We are seeking an experienced compliance professional who is a multi-tasker at heart, with strong communication skills and a problem-solving mindset that thrives in a fast-paced and evolving organization. Our ideal candidate consistently performs at a high level under variable workloads and has ability to form strong relationships with clients and across the firm.

Title: Director of Compliance

Job Responsibilities:

Support and assist PINE's fund and investment adviser clients by providing regulatory and compliance support. Oversight of registered investment adviser, registered fund and private fund compliance matters.

- Assist in the development of investment adviser risk assessment and risk analysis programs
- Complete annual reviews in accordance with Rule 206(4)-7 of the Investment Advisers Act of 1940 and Rule 38a-1 of the Investment Company Act of 1940
- Establish and/or update all required items for a registered fund and investment adviser including an ongoing compliance calendar, compliance manual and code of ethics
- Assist with ongoing securities filings (13F, 13D/G, 13H, etc.)
- Assist with the preparation and filing of periodic and annual amendments to Form ADV
- Conduct periodic and annual employee training
- Conduct annual reviews of key vendors including administrators, transfer agents, fund distributors, auditors, prime brokers, etc.
- Conduct quarterly forensic compliance program testing, including performing ongoing reviews based on the clients' written policies and procedures
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- Assist with regulatory examinations of clients' compliance programs conducted by regulatory authorities, including SEC, NFA and state securities boards
- Development/maintenance of compliance policies and procedures as well as the design/maintenance of the compliance program
- Serve as Fund Chief Compliance Officer and Anti-Money Laundering Officer for registered funds

Requirements:

- 10+ years of compliance experience in the asset management space
- Minimum of 4-year college degree required
- Excellent verbal, written and presentation skills are essential
- Demonstrated experience with compliance and regulatory matters affecting the operations and governance of investment advisers, pooled investment vehicles and registered mutual funds

- Knowledge of the Investment Advisers Act of 1940, Investment Company Act of 1940, Regulation D and other SEC, FINRA and NFA laws and regulations that affect asset managers
- Proficient in the use of MS Office: strong knowledge of Excel, PowerPoint and Word required
- Ability to multi-task and a willingness to accept any task that will benefit a growing organization
- Ability to establish and maintain effective working relationships with employees and clients
- Team player with a positive attitude and strong interpersonal skills