

# GLOBAL FINANCIAL PRIVATE CAPITAL, LLC

## Job Description

### JOB TITLE: **Compliance Director - RIA**

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Reports To: CCO

Exempt  
September 2017

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#### SUMMARY:

The Director of Compliance – RIA will be responsible for supporting the investment advisory businesses of two affiliated RIAs. The Director of Compliance - RIA will assist in the development and maintenance of effective and efficient investment advisory compliance programs, partnering with other support groups such as investment management and research, sales, operations and technology to achieve effective processes and controls.

#### ESSENTIAL DUTIES AND RESPONSIBILITIES:

- Provide regulatory oversight, risk management, and policy implementation for all investment advisory relationships
- Provide direction and guidance to internal/external business associates on investment advisory compliance issues, including fiduciary responsibility, advisory regulation, strategic relationships, and permissible activities under firm policy and the Investment Advisers Act of 1940.
- Maintain Code of Ethics and overall compliance program. Identify and assess new or changing regulatory issues and market trends; develop, maintain and effectively communicate policies and procedures.
- Collaborate with the investment management team on the initial and ongoing due diligence of internally managed portfolios, to ensure agreements and fees are properly disclosed and firms are providing services as described.
- Collaborate with internal teams regarding new business, marketing, operations, finance and technology to create and refine policies and procedures in areas such as best execution, due diligence, performance reporting, and advertising. May act as compliance liaison to Investment Committee and/or other internal departmental committees.
- Assist in the review and maintenance of advisory, selling, servicing, solicitation, and other agreements.
- Support regulatory examinations and ensure implementation of new policies and procedures.
- Identify risks and conflicts of interest related to the firm's business model. Work with business partners to assess risks and conflicts and develop related procedures and controls to mitigate them. Recommend new disclosures and controls as appropriate and coordinate with business units to ensure implementation.
- Lead compliance projects as required.

**QUALIFICATIONS:**

- 4-7 years of investment advisory experience with direct or indirect exposure to compliance.
- Working knowledge of the Advisers Act, SEC rules and regulations, and no-action letter guidance for RIAs, as well as familiarity with FINRA regulations affecting RIAs. Knowledge of securities products, investment advisory services and arrangements, and related regulatory requirements.
- Must have thorough understanding of fiduciary responsibilities and appropriate disclosure of conflicts of interest.
- Proficiency in Office 365 (Word, Excel).
- Attention to detail, with the ability to analyze data, identify trends and escalate matters appropriately.
- Accurate, timely, and thorough recordkeeping.
- Risk based critical thinking skills and curiosity. Strong independent follow-up skills.
- Strong written and oral communication skills among different business audiences; customer service oriented.
- Organizational and time management skills; ability to prioritize and manage multiple projects.
- Project management and process improvement capabilities.
- Experience with personal trading programs helpful.
- Series 7, 24 and 66 helpful, required.

**EDUCATION AND/OR EXPERIENCE:**

- Bachelor's degree or higher.

**WORK ENVIRONMENT:**

The work environment characteristics described here are representative of those an employee encounters while performing the essential functions of this job. Reasonable accommodations may be made to enable individuals with disabilities to perform the essential functions.

The noise level in the work environment is usually moderate.

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Supervisor Signature

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date