

NYC OFFICE OF THE COMPTROLLER

JOB VACANCY NOTICE

Title:	Compliance Analyst
Salary:	\$70,000 - \$80,000
Bureau/Division:	Asset Management/Compliance
Period:	June 16, 2015 - Until Filled

JOB DESCRIPTION

The New York City Comptroller's Office is responsible for oversight of the investment portfolios of the New York City Retirement Systems (Systems). This \$160 billion portfolio is managed by external investment managers (with cash managed internally), and is largely invested in publicly traded securities, with additional allocations to private equity, real assets, hedge funds, and opportunistic fixed income investments. The Compliance Analyst will help to document protocols and monitor regulatory compliance, both within the Comptroller's Bureau of Asset Management and without, in the conduct of external managers, parent companies, affiliates, joint venture partners, as well as the manager's delegees, on a range of issues relevant to the financial services industry from AML to FCPA to risk tolerances.

Reporting directly to the Chief Compliance Officer and working with internal compliance staff, the Compliance Analyst's responsibilities include, but are not limited to:

- Working with investment staff to resolve all portfolio trades and investments that do not comply with investment policy statements and investment guidelines;
- Reviewing new client guidelines and changes to existing client guidelines;
- Monitoring and analyze manager quarterly and annual certifications for private and public market investment firms;
- Assisting the compliance team in documenting and enforcing policies and procedures for all areas of the Bureau of Asset Management;
- Working on various other related projects as needed.

MINIMUM QUALIFICATION REQUIREMENTS

1. Bachelor's degree in accounting, finance, business or a closely related field from an accredited college/university, and three (3) or more years of progressively responsible experience in a compliance role for a financial services institution with more than \$10 billion in assets, or closely related capacity; or
2. Satisfactory education and/or experience equivalent to "1" above.

PREFERRED SKILLS IN ADDITION TO MINIMUM QUALIFICATIONS

- Clearly demonstrated progressively responsible regulatory compliance experience in the public and private investments, asset management or a closely related field;
- Post investment trade compliance analysis experience helpful;
- Ability to work both independently and in a team environment;
- Ability to balance multiple assignments and priorities;
- Knowledge of Microsoft Word, Excel, PowerPoint and Access.

TO APPLY, GO TO: Employment Opportunities at www.comptroller.nyc.gov

Certain residency requirements may apply. We appreciate every applicant's interest; however, only those under consideration will be contacted.

Note: Vacancy notices listed as "Until Filled" will be posted for at least five work days.

POSTING DATE: June 16, 2015	POST UNTIL: Until Filled	JVN: 015/015/073
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The NYC Comptroller's Office is an Equal Opportunity Employer