NYC OFFICE OF THE COMPTROLLER

JOB VACANCY NOTICE

Title:	**Compliance Analyst**
Salary:	**$70,000 - $80,000**
Bureau/Division:	**Bureau of Asset Management / Compliance**
Period:	**September 29, 2016 - Until Filled**

JOB DESCRIPTION

The Bureau of Asset Management (BAM) is responsible for oversight of the investment portfolios of the New York City Retirement Systems (Systems). This $160 billion total portfolio is managed primarily by external investment managers 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 beyond, in the conduct of external managers, parent companies, affiliates, joint venture partners, as well as the manager's delegates, 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 the compliance staff, the Compliance Analyst's responsibilities include, but are not limited to:

- Assisting the Compliance team in developing and enforcing policies and procedures for all areas within BAM;
- Working with the Compliance team and the Office of the General Counsel in reviewing new public and private markets managers with respect to investment managers and consultants' compliance with regulatory and Board policy requirements, including but not limited to: pay-to-play, OFAC, FCPA, AML and general Code of Ethics requirements;
- Working with compliance team to resolve all portfolio trades and investments that do not comply with investment policy statements and investment guidelines;
- Supporting the Chief Compliance Officer and the Bureau of Information Systems and Technology in managing, testing and updating BAM's business continuity and disaster recovery plan;
- Conducting special projects as required by the Chief Compliance Officer.

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 with a large and/or complex registered investment advisor or broker/dealer, or in a closely related capacity; or

2. Satisfactory education and/or experience equivalent to **"1"** above.

PREFERRED SKILLS IN ADDITION TO MINIMUM QUALIFICATIONS

- Progressively responsible regulatory compliance experience in the public and private investments, asset management or closely related field;
- Securities lending, foreign tax reclaim filing and business continuity planning experience extremely helpful
- Ability to work both independently and in a team environment;
- Strong time management skills, with the ability to balance multiple assignments and department priorities;
- Self-motivated with the ability to prioritize, meet deadlines and manage changing priorities;
- Strong knowledge of Microsoft Office Suite (Word, Excel, PowerPoint, Outlook, 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:	POST UNTIL:	JVN:
September 29, 2016	**Until Filled**	**015/017/016**

The NYC Comptroller's Office is an Equal Opportunity Employer