

NYC OFFICE OF THE COMPTROLLER

JOB VACANCY NOTICE

Title:	Compliance Analyst
Salary:	\$65,000 - \$80,000
Bureau/Division:	Bureau of Asset Management / Compliance
Period:	January 31, 2017 - 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 \$170 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.

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;
- 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; and,
- Conducting special projects as required by the Chief Compliance Officer.

MINIMUM QUALIFICATION REQUIREMENTS

1. BA/BS degree from an accredited college or university with major studies in business or finance or a closely related field and two (2) 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

- Clearly demonstrated regulatory compliance experience in the public and private investments, asset management or closely related field is strongly preferred;
- Proficiency in accounting, finance or a closely related field is ideal;
- Strong time management skills, with the ability to balance multiple assignments and department priorities;
- Ability to work both independently and in a team environment; self-motivated with the ability to prioritize, meet deadlines and manage changing priorities;
- Securities lending, foreign tax reclaim filing and business continuity planning experience is a plus;
- Strong knowledge of Microsoft Office Suite (Word, Excel, PowerPoint, Outlook, Access) expected.

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

The selected candidate will be subject to the financial disclosure requirements of the office's Personal Trading Policy.

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: January 31, 2017	POST UNTIL: Until Filled	JVN: 015/017/016RR
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The NYC Comptroller's Office is an Equal Opportunity Employer