

NYC OFFICE OF THE COMPTROLLER

JOB VACANCY NOTICE

Title:	Compliance Analyst
Salary:	\$65,000 - \$80,000
Bureau/Division:	Bureau of Asset Management / Compliance
Period:	June 6, 2022 - 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 over \$260 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 alternative credit investments.

The Compliance Analyst will help to identify and implement policies and workflows to monitor regulatory compliance within the Bureau, as well as with the Systems' external managers and consultants on issues relevant to the financial services industry. The department works to ensure investments comply with all relevant City, State and Federal law, the Systems' investment guidelines, and asset allocation decisions made by the Systems and their Trustees.

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

- Working with BAM Investment Strategy and the Office of the General Counsel, perform comprehensive compliance-related operational due diligence and disclosure form review on all new and existing public and private market manager recommendations and investments;
- Assisting the compliance team to help resolve portfolio trades and investments that do not comply with investment policy statements and investment guidelines;
- Administering an annual compliance questionnaire to all investment managers and consultants, ensuring manager compliance with Trustee policy and regulatory requirements;
- Monitoring and creating monthly metrics for the Bureau's 3rd party meeting tracker that ensures compliance with the Agency's placement agent ban;
- Managing the oversight of the 3rd party political contributions platform; 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 related capacity; or
2. Satisfactory education and/or experience equivalent to "1" above.

PREFERRED SKILLS IN ADDITION TO MINIMUM QUALIFICATIONS

- Clearly demonstrated substantial regulatory compliance experience in public and private investments, asset management or a related field;
- Basic knowledge of the U.S. Securities and Exchange Commission's Investment Advisers Act of 1940, specifically Rules 206(4)-7, 204A-1, and 206(4)-5 a plus;
- Strong time management skills, adaptable, with the ability to balance multiple assignments and department priorities, meet deadlines and manage changing priorities;
- Ability to work both independently and in a team environment; proactive and can independently carry out projects to their completion; principled and committed to a culture of compliance;
- Working knowledge of Microsoft Office Suite (Word, Excel, PowerPoint, Outlook, SharePoint, Teams) 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.

Note: We appreciate every applicant's interest; however, only those under consideration will be contacted. Certain residency requirements may apply. Under Executive Order 75, all new City employees are subject to mandatory vaccination requirements. Vacancy notices listed as "Until Filled" will be posted for at least five workdays.

POSTING DATE: June 6, 2022	POST UNTIL: Filled	JVN: 015/022/096
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The NYC Comptroller's Office is an Equal Opportunity Employer