

NYC OFFICE OF THE COMPTROLLER

JOB VACANCY NOTICE

Title:	Compliance Officer
Salary:	\$100,000 - \$115,000
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 \$270 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 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.

The Compliance Officer will work with the Chief Compliance Officer (CCO) to identify and implement policies and workflows to monitor regulatory compliance both within the Bureau and with the Systems' external managers and consultants on issues relevant to the financial services industry.

Reporting directly to the CCO and working with the compliance staff, the Compliance Officer'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 CCO in performing a compliance review of presentation materials such as investment memos and presentations for NYC retirement systems' Trustees and other external parties.
- Maintaining the Bureau's Business Continuity and Disaster Recovery Plan and developing training and reporting to BAM's senior leadership team.
- Evaluating ways to improve internal Compliance processes including but not limited to public market investment guideline monitoring, compliance training, and the annual ethics & compliance questionnaire for 300+ investment managers and consultants.
- Assisting the Chief Compliance Officer in maintaining the Agency's Personal Trading Policy, including setting up electronic data feeds for multiple brokers.
- Researching and providing reporting to the Chief Compliance Officer on changes in regulatory rules and practices affecting investment firms who manage assets for the NYC retirement systems.
- Conducting ad hoc projects as required by the Chief Compliance Officer.

MINIMUM QUALIFICATION REQUIREMENTS

1. A master's degree from an accredited college or university with major studies in business, economics, finance, or a related field and three (3) or more years of progressively responsible experience in a financial services compliance role and/or carrying out compliance functions for a large and/or complex SEC registered investment advisor, broker/dealer, consulting firm, or in a related area; or,
2. BS/BA degree from an accredited college with major studies in the fields mentioned above and five (5) or more years of progressively responsible professional experience as described above; or,
3. Satisfactory equivalent of education and/or experience equivalent to "1" above.

PREFERRED SKILLS IN ADDITION TO MINIMUM QUALIFICATIONS

- Understanding 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;
- Proactive in identifying process deficiencies and compliance risks and presenting possible solutions;
- Practices a strong ethical code of conduct and commitment to a culture of compliance;
- Solid writing, communication and time management skills, can be adaptable and balance multiple assignments and department priorities;
- Ability to work both independently and collaboratively with teams;
- Working experience with Microsoft Office applications (Word, Excel, PowerPoint, Outlook, SharePoint, Teams).

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: 015/022/097
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The NYC Comptroller's Office is an Equal Opportunity Employer