



## Senior Level-Compliance Professional

**Company Overview:** Constellation Advisers is a premier investment management consultancy with a boutique firm approach. Drawing from decades of experience in investment management and financial services, our consultants provide expert advice and value-added service to a range of traditional and alternative investment management firms, their investors, and their service providers, including hedge funds, mutual funds, fund of funds, private wealth management firms, private equity and venture capital funds, global asset managers, foundations, fund administrators, prime brokers, and dispute litigators. Please see our website at <https://www.constellationadvisers.com/>

**Why Constellation:** Since it was founded in 2008, Constellation has built an unparalleled reputation as a leading service provider to the investment management industry. This is entirely a result of its people. The investment in our employees begins on day one with onsite training while working alongside senior executives in high growth industries. Beginning at the Associate level, our professionals are exposed to a wide array of investment management structures and strategies including hedge funds, private equity, energy, debt, crypto asset, real estate, venture capital, and many more. The day to day variance keeps our people engaged and at the forefront of the industry. Our teams work in a collaborative environment across service lines to gain insight into Accounting and Finance, Middle Office and Operations, and Regulatory and Compliance. Constellation is expanding across the country and worldwide as we continue to open new offices and grow our client base. Join our team today and develop experience that will last you a lifetime.

**Opportunity:** A fast-growing boutique financial service consulting firm seeks a Senior Member for their Compliance team in New York City. This position provides opportunities for the development of high levels of expertise and independent work. The position allows for creative thinking of new ideas, systems, or plans, and innovative problem solving. Employees seeking to gain industry experience from a wide range of client exposure, take ownership of projects and tasks, work in a fast paced and ever changing environment will excel in this role.

**Key Components:** This position requires strong concern for quality and accuracy of work with a results-oriented focus. The work involves critical and technical thinking and problem solving based on detailed knowledge of all pertinent facts and thorough analysis of relevant details. There is an intense focus on complex, independent problem solving, self-direction and freedom of ideas. The individual in this position must maintain a professional demeanor and make sound, well thought-out decisions. This position requires little delegation of details or responsibilities, it is important that close, quick and critical follow up occur to recognize and correct mistakes. The work schedule of this position will be dictated by client needs, work flow and current deadlines. This hire will join the firm's compliance team in the assessment, development, implementation, and testing of compliance programs for our clients in the alternative and



traditional investment sector, including private equity, hedge and venture capital fund managers, in addition to providing Regulatory Exam support and outsourced Chief Compliance Officer (CCO) functions.

### **Responsibilities**

- Work within the team to:
  - Advising clients on compliance with the Securities Act, Securities Exchange Act, Advisers Act and other applicable regulatory directives
  - Advising on and reviewing firm marketing and advertising materials for compliance with the Advisers Act and other applicable regulatory requirements.
- Assist clients in the performance of compliance functions, such as oversight of personal trading, email review, the monitoring of firm trading activities and maintaining restricted lists
- Preparation and filing of required regulatory filings, for US and international clients
- Review of client and account documentation for anti-money laundering compliance
- Review, assess, devise, and conduct training of our clients' employees and management, according to client needs, particularly regarding the Advisers Act, including training on insider trading, custody, conflicts of interest (i.e. allocations, Pay-to-Play, gifts and entertainment, and cross trades), and valuation
- Design and monitor testing systems to insure the efficacy of controls and surveillance programs, including the consultation and implementation of relevant technology and technology infrastructure
- Perform other compliance-related responsibilities and special projects as needed

### **Qualifications**

Successful candidates will have many, if not all, of the attributes below:

- 7-10 years of relevant compliance experience at a registered investment adviser, law firm, or investment consulting firm, experience practicing law regarding registered investment companies preferred
- Strong working knowledge of the IA Act of 1940 and the ICA of 1940
- Knowledge of SEC Exam practices, experience with SEC exams and mock exams preferred
- Knowledge of CFTC / NFA as well as FINRA requirements is a plus