

Segall Bryant & Hamill is an independent investment firm headquartered in Chicago, Illinois with offices in St. Louis, MO; Philadelphia, PA; Denver, CO; and Naples, FL. Since our founding in 1994, we have grown to approximately \$20 billion in assets under management as of June 30, 2020. We provide fee-based investment management of equity, fixed income, and balanced investment portfolios. Our growing client list includes high net worth individuals and families, endowments, foundations, corporations, hospitals, public funds and multi-employer plans across the country.

Segall Bryant and Hamill is an equal opportunity employer and all qualified applicants will receive consideration for employment without regard to race, religion, sex, gender, sexual orientation, gender identity, national origin, disability status, protected veteran status, or any other characteristic protected by law.

**Job Title:** [Compliance Associate](#)

**Category:** Compliance

**Level:** Entry Level

**Employment Type:** Full Time

**Location:** Chicago, IL or Denver, CO

**Compensation:** commensurate with experience

Segall Bryant & Hamill is seeking a Compliance Associate to work within a team managing the oversight and monitoring of the firm's compliance program. The ideal candidate will have had exposure to the securities laws, rules and regulations applicable to registered investment advisers and private fund offerings, in particular the Investment Advisers Act of 1940 and Investment Company Act of 1940. Additionally, the candidate must possess an understanding of the business operations and practices, procedures and controls specific to the business units supported. The candidate must be able to take ownership for the delivery of projects while also operating successfully in a cross-functional team environment. This position reports to the Compliance Manager and has no direct reports.

### General Responsibilities

- Maintain, update, and oversee the compliance monitoring tools to aid in the adherence to client guidelines and the enforcement of the Code of Ethics and Compliance Manual
- Monitor, review, and track soft dollar arrangements and invoices
- Compile various data requirements for financial and regulatory reporting to various agencies
- Work with the compliance team on review of regulations and make appropriate updates and recommendations to regulatory documents and policies and procedures
- Prepare and assist in completing and reviewing periodic compliance and due diligence questionnaires

### Qualifications

- Bachelor's Degree
- 1-3 years of work experience in the financial services industry, preferably, investment/asset management
- Strong writing and verbal communication skills
- Must be thorough, detail-oriented, and function with a high degree of accuracy
- Must be persistent, self-motivated, and able to function with a high degree of independence
- Effective analytical abilities are required, including solid research skills and the ability to recommend solutions from that analysis
- Ability to work on multiple projects while meeting competing deadlines
- Demonstrated ability to work effectively with employees and outside parties at all organizational levels
- Desire to keep abreast of best practices as well as evolving issues within scope of the position is required
- Desire to further develop and foster strong interpersonal relationships and to maintain effective cross-functional teams
- Proficient in MS Office (Outlook, Word, Excel, PowerPoint, Teams)
- Knowledge of the following software is a plus but not required:
  - Advent Rules Manager, APX, and Moxy or other investment compliance and/or trading systems
  - Schwab Compliance Technologies or other personal trading software

Apply via the [SBH Career Center](#)

All submissions must include a resume, cover letter and salary expectation

Company website: [www.sbhic.com](http://www.sbhic.com)