



## COMPLIANCE ASSOCIATE

*RESEARCH AFFILIATES ASPIRES TO BE A LEADING SOURCE OF INSIGHTS AND PRODUCTS THAT TRANSFORM THE GLOBAL INVESTMENT COMMUNITY FOR THE BENEFIT OF INVESTORS. DEMONSTRATING OUR STRONG RESEARCH FOCUS, RA PARTNERS WITH SOME OF THE WORLD'S LEADING FINANCIAL INSTITUTIONS TO DISTRIBUTE MARKET-CHANGING PRODUCTS IN QUANTITATIVE FUNDAMENTAL EQUITIES AND MULTI-ASSET TACTICAL ALLOCATION (STOCKS, BONDS, CREDIT, CURRENCIES, AND COMMODITIES). OUR HIGH-REACHING EDGE IS THE STRENGTH OF OUR RESEARCH, OUR PRODUCT DEVELOPMENT CAPABILITIES, AND OUR FOCUS ON CULTURE. RESEARCH AFFILIATES IS COMMITTED TO DIVERSITY IN OUR WORKFORCE. WE SEEK TO FOSTER AN INCLUSIVE AND RESPECTFUL CULTURE, WITH EQUALITY OF OPPORTUNITY FOR ALL. WE APPRECIATE THE ADVANTAGES OF HAVING HIGHER COLLECTIVE INTELLIGENCE THROUGH VARIED PERSPECTIVES.*

*We believe that a positive corporate culture is vital to our success. We place great value on collaboration, curiosity, responsibility, and authenticity. In our hiring process, we seek individuals who embrace these values. The result is a friendly, respectful, and collegial workplace where diversity is embraced, strong opinions are loosely held, and disagreements do not become personal. Our culture is well described in this article: <https://tinyurl.com/y6k7r92a>*

### **POSITION SUMMARY**

We are hiring a Compliance Associate to support the firm's investment adviser compliance program and assist with all regulatory compliance matters. The ideal candidate will have knowledge in the Investment Advisers Act of 1940 and prior experience working for a SEC-registered investment adviser or SEC/FINRA, as well as working knowledge in the Investment Company Act of 1940 and registered fund rules and regulations.

### **DUTIES AND RESPONSIBILITIES**

- Assist the Chief Compliance Officer with the management of the investment adviser compliance program, including implementation of policies and procedures, delivering periodic compliance trainings, surveillance and testing, and annual risk assessments and compliance reviews.
- Draft policies and procedures, compliance memos and other legal and compliance-related documentation.
- Maintain the firm's compliance management software and tools (ComplySci, ACA AlphaCompliance).
- Prepare and file various regulatory filings and maintain the firm's compliance calendar.
- Support client-facing teams with information requests, including due diligence requests and requests for proposal, and assist with diligence of key service providers.
- Review marketing materials and communications for compliance with regulatory requirements (particularly under the New Marketing Rule).
- Perform legal and regulatory research and assist with special projects, as needed.
- Proactively identify new and/or changing regulations and collaborate with members of other teams to implement new rules and policies.



### **REQUIRED SKILLS AND QUALIFICATIONS**

- Bachelor's Degree required.
- 3-5 years of relevant compliance-related work experience.
- Solid comprehension of the securities industry and regulatory requirements pertaining to SEC-registered investment advisers, including the rules and regulations thereunder.
- Prior compliance experience with registered investment advisers, registered investment companies and/or the SEC or FINRA.
- Strong attention to detail and excellent organizational and time management skills, with the ability to effectively identify and prioritize the most critical tasks.
- Excellent communication and interpersonal skills, as well as a demonstrated ability to work across teams and to build strong working relationships.
- Critical thinker with good judgment and solid writing skills.
- Proactive and motivated team player willing to seek out new projects and pitch in where needed.

### **PREFERRED QUALIFICATIONS**

- 5+ years of regulatory compliance experience in a compliance function.
- Experience with a variety of investment products, including private funds, U.S. mutual funds and ETFs and UCITS funds.
- Familiarity with ACA AlphaCompliance and ComplySci.

### **WHAT WE PROVIDE**

- A flexible hybrid work model. We value collaboration and provide ample opportunities to foster a sense of community within your team and the company, while still appreciating the need for flexibility.
- Generous comprehensive insurance plans.
- Flexible time off.
- Education assistance and tuition reimbursement program.
- Company-sponsored social and recreational activities.
- Six week sabbatical after 7 years of continuous employment.
- Company-sponsored daily in-office meals.
- Gym membership stipend.

Salary Range: \$80,000 - \$110,000 + eligible for a discretionary bonus. Base pay will be assessed taking into consideration such factors as location, qualifications, skills, and experience. The base pay range is subject to change and may be modified in the future.

Please submit resume and cover letter to [humancapital@rallc.com](mailto:humancapital@rallc.com).