



Kayne Anderson Rudnick

JOB DESCRIPTION

Senior Compliance Administrator

Kayne Anderson Rudnick Investment Management (“KAR”) is seeking a highly motivated, committed individual with strong initiative to join our Team as a Senior Compliance Administrator. This position is a new role at KAR and will be primarily responsible for the review of KAR’s sales and marketing materials for compliance with applicable SEC rules, regulations and guidance. This role will also support the Firm’s compliance team in a variety of areas, including policy and procedure testing and development, annual compliance review support, compliance manual maintenance, and other special projects as assigned by the Chief Compliance Officer.

PRIMARY DUTIES AND RESPONSIBILITIES

- Reviews the firm’s various regular and quarterly retail and institutional marketing materials, Requests for Proposals (“RFPs”), Requests for Information, Due Diligence Questionnaires, and other data requests for compliance with applicable regulatory requirements and accuracy as they relate to the firm’s events, policies or operations
- Works with the Chief Compliance Officer to draft new disclosures where necessary for general advertising, institutional sales and marketing materials, and train other professionals in required disclosures to assist in their compliance-related responsibilities
- Supports the maintenance of appropriate records for marketing materials
- Performs periodic tests of procedures and/or transactions to monitor the efficiency of the compliance programs and assist in the preparation of annual compliance reports and other ad hoc reviews
- Supports the Chief Compliance Officer in certain organizational and document management-type functions (e.g., organizing and implementing changes to agreements and other documents)
- Liaises with various groups and individuals at all levels throughout the firm, including sales and marketing, as well as KAR’s parent company, as needed
- Undertakes special compliance-related projects, as assigned, and collaborates with the other compliance team members on routine and ad hoc projects.

QUALIFICATIONS:

- Bachelor’s degree with 5-7 years of experience as a compliance professional supporting the compliance function for an investment adviser firm with direct experience reviewing and approving marketing/advertising materials
- Basic knowledge of the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Securities Exchange Act of 1934, and other regulatory requirements
- Team player with the ability to manage diverse and complex projects according to timelines that the person will create and monitor; therefore, strong project and time management skills are a must

- Highly organized and comfortable managing a variety of tasks and projects simultaneously
- Excellent verbal and written communications skills with a strong intellectual curiosity

BENEFITS:

- Competitive salary
- 401k plan
- Medical/Dental
- Paid Parking
- Potential for bonus participation

If you meet the qualifications and are interested in the position, please submit resume to recruiting@kayne.com.

A competitive compensation will be offered. Details will be discussed at the appropriate time with interested, qualified candidates.

For additional general information on Kayne Anderson Rudnick, please access the firm's web site at www.kayne.com.