

*Keen Wealth Advisors*, a growing wealth management firm is seeking a Compliance Specialist to assist us in our mission of helping clients achieve their financial goals. This is your chance to play a key role in the future and success of our fast-growing organization!

### **Compliance Specialist**

The Compliance Specialist performs a vital role in ensuring the firm's daily operations and functions adhere to industry regulations as well as internal policies and procedures. The Compliance Specialist works closely with the Chief Compliance Officer (CCO) and Senior Compliance Specialist performing a variety of duties focused on reviewing and completing tasks for our annual compliance program. Our firm has an entrepreneurial spirit that is growing and expanding rapidly. To be most effective in this position, it is crucial that the individual is highly organized and able to reprioritize their day with little to short notice and pivot often to tasks with sudden deadlines.

### **Job Duties**

- Maintain accurate filing for all compliance related reviews, internal and external documents, and internal logs (gift log, deposit log, etc.)
- Investigate and conduct daily audit of firm emails, MS Teams messages, and social media review through our Smarsh archiving system, escalating any questions and/or findings
- Maintain employee compliance folders including filing documents and reminders to employees, as needed to complete appropriate forms (new employee compliance forms, quarterly attestations, annual attestations, quarterly trade review of employee accounts, etc.)
- Maintain and review IAR employee ADV 2B documents and if applicable annual designation review
- Monitor for potential notice filing in new states
- Audit client fees, files, agreements
- Monitor, pull, review and file regulatory quarterly filings (13F) and annual (13H)
- Assist in creation of compliance training and presentations for all employees
- Assist in the development of material for our Quarterly Compliance Newsletter
- Facilitate initial communication with our third-party compliance consultants
- Be the initial point of contact for incoming internal compliance questions
- Conduct advertising and marketing material review through Red Oak according to regulatory guidelines, work with applicable departments on changes if needed, and escalate questions and findings
- Assist with data collection and filtering for annual and other than annual ADV firm filings
- Create, update, and implement documents, forms, and policies for our manuals
- Conduct initial and ongoing review of 3<sup>rd</sup> party vendors and manage vendor due diligence
- Identify, research, and report issues and trends and stay on top of regulatory changes that need to be reviewed for implementation into the firm
- Assist with audit and mock audit preparation and data gathering
- Track and complete daily, weekly, monthly, quarterly, and annual compliance checklist items
- Maintain compliance calendar to ensure it is up to date and be vigilant of upcoming due dates
- Promote a strong code of ethics and integrity by maintaining a high standard of compliance with all firm policies, including those in the Written Supervisory Procedures, and with state and federal regulations
- Become a subject matter expert (SME) in our compliance software (RedOak/AdMaster, Smarsh, Orion Compliance Dashboard, etc.)
- Perform other duties as assigned

## **Knowledge/Skills/Qualifications**

- Auditing & investigative skills
- Proofreading and high attention to detail
- Ability to learn new software and understand general IT solutions
- High degree of understanding of SEC regulatory requirements
- Strong desire to continually learn new things
- Self-motivated
- Ability to maintain high degree of confidentiality
- Analytical
- Excellent organizational and time management skills
- Ability to handle multiple tasks and handle stress
- Flexible and responsive to meet the needs of the firm
- Strong communication and interpersonal skills
- Ability to work independently and as part of a team
- Relevant educational background (Finance, Accounting, Business Administration)
- 2-3 years of experience in the financial services industry, with an emphasis in Compliance and/or Operations is preferred
- Ability to work with several internal departments to reach a solution
- Microsoft Office Proficient including Excel
- Experience using Salesforce and Orion is preferred
- Experience using eMoney, MoneyGuidePro, Riskalyze, and other financial services systems is preferred