

Title: Compliance Analyst

Company: Advisor Solutions Group, Inc.

Location: Newport Beach, California

Status: Full Time Employee

Description: Advisor Solutions Group, Inc. (“ASG”) is an established, rapidly growing regulatory compliance consulting firm providing comprehensive and customized compliance solutions to small and mid-sized registered investment advisers. ASG is seeking an individual to assist in supporting ASG’s investment adviser clients with customized compliance solutions.

Common job duties will include, but are not limited to:

- Providing individualized compliance services
- Preparing written compliance policies and procedures for clients
- Creating forms and compliance calendars
- Performing annual reviews of compliance programs
- Preparing regulatory filings
- Staying current on relevant regulatory changes
- Researching rules and regulations
- Summarizing regulations and applying those to client situations
- Developing, in concert with company partners, new processes, products, and services
- Developing and maintaining strong working relationships with other compliance contacts in the industry
- Traveling to various client sites (up to 30% travel)
- Completing special projects as assigned

The ideal candidate will demonstrate the following:

- 3+ years prior investment adviser compliance or equivalent experience required
- 4-year college degree in accounting, business or related discipline preferred
- Prior paralegal and/or securities law experience a strong plus
- Working knowledge of Federal and State securities laws and rules
- Exceptionally organized and strong attention to detail
- Ability to handle multiple tasks and deadlines efficiently
- Self-starter with the ability to work under limited supervision
- Proven research, analytical, and problem-solving skills
- Strong interpersonal and communication skills
- Excellent writing skills
- Ability to express complex technical information clearly & concisely
- Advanced working knowledge of Microsoft Excel and Word
- Entrepreneurial spirit and team player
- Strong desire for a career in compliance
- Unparalleled integrity and excellent work ethic

What we offer:

- Exciting career position with growth opportunity, reporting directly to Executive Management
- Salary (base + bonus) commensurate with relevant experience
- Medical, dental, & life insurance
- 401(k) with company match & Profit Sharing Plan
- Paid holidays and vacation
- Flexible work schedule

This new position presents an opportunity to get in on the ground floor of a budding firm and is ideal for an energetic person seeking a long-term career in compliance. Responsibilities may increase with the growth of the firm and increased experience.

Note: Relocation package is not provided.

To apply, please e-mail your resume and salary history & requirements to resume@advisorsolutionsgroup.com. Thank you.