



A rapidly growing investment advisor and broker-dealer is seeking a Compliance Officer to be located in its Chicago Headquarters. This position will work closely with the firm's CCO, Compliance team, legal counsel, and the advisors and executives throughout the firm. A significant portion of the workflow will consist of providing advisory compliance support responsive to questions received from internal departments regarding various regulatory issues related to the Company's products and services and compliance program. The position will assist in monitoring all advisory activities to ensure they are performed in compliance with Company policies, securities laws, and SEC, FINRA, and MSRB regulations.

The Compliance Officer will assist in educating, encouraging and enforcing the firm's Culture of Compliance. The ideal candidate will have a desire to develop a thorough understanding of SEC, FINRA and other industry rules, as well as internal policies and procedures and to help their registered representatives do the same. This position reports to the Chief Compliance Officer.

**Responsibilities:**

- Assist in the ongoing maintenance and development of policies and procedures to ensure compliance with various laws and regulations; including implementation of new policies.
- Oversee adherence to FINRA's registration, training, licensing regulatory filings and administrative requirements.
- Reviews the individual state jurisdictions annual renewal rules and regulations ("Blue Sky") ensuring that all requirements are satisfied and oversees required recordkeeping.
- Management of the firm's compliance software and recordkeeping system – Schwab Compliance Technologies
- Under the guidance of the CCO, develop annual Continuing Education Training Plan which includes the monitoring and administering of the firm element, regulatory element, and annual compliance meeting modules for the company.
- Assist during regulatory exams and inquiries; communicate issues with business units and draft responses to examination findings
- Serve as a resource to the various senior business personnel regarding special projects and regulatory initiatives; provide guidance and analysis of rules and/or firm policies as appropriate.
- Perform other Compliance-related responsibilities and special projects as needed.
- Maintain professional and technical knowledge by attending educational workshops; reviewing professional publication and establishing personal networks.
- Assist in insurance licensing and continuing education coordination.
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**Experience:**

- Minimum of 3-5 years of investment advisor and/or broker-dealer experience,
- A broad knowledge of the financial services industry
- Self-starter who can work independently



- Be proactive & solutions-oriented; innovative; responsive to client needs; collaborative and energized by the open exchange of ideas
- Adapt quickly and appropriately in accordance with the constant evolution of the company and industry
- Series 7 and 24 License a plus, but not required.

**Compensation:**

- Competitive base salary, based on experience
- Discretionary bonus
- Benefits package

If you are interested in the position, please contact Lance Murray, Chief Compliance Officer, at 312-962-3847, or [compliance@hightoweradvisors.com](mailto:compliance@hightoweradvisors.com)