

Job Specification

Job Title: Compliance Associate
Division: Rothschild Asset Management Inc.
Location : New York, NY

Rothschild & Co

Rothschild & Co is one of the world's largest independent financial advisory groups. We offer a distinct perspective that makes a meaningful difference to our clients' business and wealth.

With a team of 3,400 talented financial services specialists on the ground in 50 offices around the world, we provide independent advice on M&A, strategy and financing, as well as investment and wealth management solutions to large institutions, families, individuals and governments. As a family-controlled business that has been at the center of the world's financial markets for over 200 years, we can rely on an unrivaled network of specialists and are known for our track-record of outstanding execution in financial services.

Rothschild Asset Management

An independent long-term perspective in innovative investment solutions, designed around the needs of each and every client.

Rothschild Asset Management division offers the independent long-term perspective in bespoke asset management solutions, designed around the needs of each and every client.

We are a global multi-specialist asset manager delivering bespoke investment management and advisory services to institutional clients, financial intermediaries, and third party distributors.

Click here for more information on [Rothschild Asset Management](#).

Overview of Role

Rothschild Asset Management is seeking a junior to mid-level compliance professional to support our expanding and fast-paced U.S. asset management business and its compliance program. The ideal candidate would be willing to grow professionally, assume progressively higher responsibilities and build his or her career within the Rothschild Group.

Responsibilities

- Prepare regulatory filings and reports, including Section 13 filings, Forms PF and other US and foreign regulatory filings
- Administer the firm's Code of Ethics program, including personal account trading policies, inside information policies, gifts and entertainment policies and political contributions policies, and oversee the automated Code of Ethics reporting system
- Participate in daily investments and trading monitoring and responding to compliance exceptions
- Help facilitate trade error meetings and draft trade error reports
- Oversee the automated employee email review system and review the exceptions flagged



- Onboard new clients and perform KYC/AML reviews
- Participate in vendor and service provider oversight and client reporting to the firm's mutual funds' clients
- Draft compliance memoranda
- Assist with the firm's insurance policies renewal
- Conduct employee training programs and new employee onboarding
- Aid with periodic internal audits, risk assessments and annual compliance reviews
- Distribute and ensure collection of all periodic compliance forms
- Take on responsibility for the compliance program recordkeeping
- Attend and take minutes at various firm's committee meetings
- Lead various compliance program improvement initiatives
- Assist with broker-dealer registered representative compliance for the firm's marketing personnel
- Provide support to other Rothschild advisory affiliates, as appropriate

Education and Qualifications

- Bachelor's degree
- Prior compliance experience in Asset Management Industry
- IACCP or comparable certification is a plus, but not required

Experience, Skills and Competencies Required

- Familiarity with compliance matters applicable to SEC-registered investment advisers, institutional separately managed accounts and private funds is required
- Understanding of wrap business and mutual funds preferred, but not required
- Experience with the Charles River (CRD) compliance module is a plus
- Excellent communication, follow-up and organizational skills with strong attention to detail
- Ability to effectively interface with all levels of management and work in a team environment, work well under pressure and deadlines, while managing multiple projects

Rothschild North America is an equal opportunity and affirmative action employer. Disabled/Veterans Notice of applicant rights

<https://www.dol.gov/ofccp/regs/compliance/posters/pdf/eeopost.pdf>

Notice of applicant rights (Supplement)

https://www.dol.gov/ofccp/regs/compliance/posters/pdf/OFCCP_EEO_Supplement_Final_JRF_QA_508c.pdf

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