

**Job Description: Compliance Associate**

**Location: Dallas, TX**

Company Description

CORE-CCO Services, LLC (**CORE**) is a premiere Texas-based compliance services provider to private fund firms across the U.S. and abroad. CORE is a boutique compliance practice that provides customized, high-touch outsourced compliance resources and expertise to private fund managers, including hedge funds, private equity funds, real estate funds, oil and gas funds, other alternative investment funds and select family offices and private wealth managers.

Opportunity

A CORE **Compliance Associate** has the unique opportunity to learn the financial services industry and SEC compliance practice from veteran SEC and industry experts, seasoned compliance professionals and other dedicated junior team members in an inviting and rewarding atmosphere. CORE is a fast-paced, high-energy firm dedicated to providing excellent proactive, high-touch expert service. We are committed to maintaining a family-friendly, fun, work-life balanced environment. We value team members who are easy to get along with, work collaboratively with each other and do not take themselves or others too seriously. CORE succeeds when our team is given opportunities to grow and develop their expertise and skills with the firm.

Position Summary

- Serve as part of a CORE client service team which means working together with senior compliance officers and mid-level compliance officers to organize and deliver exceptional compliance services.
- Maintain compliance calendars and checklists, organize, track and review firm and employee compliance reporting, monitor compliance with policies, procedures, and regulations.
- Monitor and help adjust alignment of firm policies with federal law and SEC policies, procedures, and regulations.
- Monitor business processes and perform exercises to identify and test for potential compliance risks and help client firms stay abreast of new policies, systems or controls designed to reduce risk.
- Enter and maintain client firm information and task tracking in the CRM system.
- Assist in direct preparation of regulatory filings and provide support and assistance to the CORE team in making filings.
- Coordinate and help administer special compliance and business-related projects for the team.
- Stay abreast of private fund industry regulations changes and research regulatory exam results and enforcement case outcomes in order to translate those into advisory guidance for client firms.
- Take part in client meetings, calls, and interactions as part of providing consultation services.
- Assist in supporting compliance trainings for client firms.
- Provide other types of support and assistance to the client services team as necessary.
- Work closely with the CORE team to learn the private fund industry, clients' businesses, and compliance program, as well as regulatory and compliance requirements.
- Take advantage of opportunities to grow and advance within the firm as knowledge, skills, experience, and enthusiasm permit.

## Qualifications Required

- Bachelor's Degree required preferably in finance, economics, business or accounting.
- Excellent communication skills, a proactive diligent work ethic, and the ability and desire to work collaboratively in a team environment.
- Proficient in Microsoft applications including Outlook, Word, Excel, and PowerPoint, with aptitude to learn new software and systems. Access skills are desirable.
- Ability to work in a fast-paced environment, supporting multiple team members and client service teams, employee effective time/task management, and meet strict deadlines.
- Ability to handle confidential information, work with limited supervision, and collaborate with various team members.
- Interest in, and basic understanding of, the investment management industry, private fund, hedge fund, and venture capital regulatory and compliance environment.
- Strong organizational skills, significant attention to detail, and a solid ability to develop and maintain Excel spreadsheets and manage, organize, and analyze data and information.
- Ability to work at times individually with limited supervision and the ability to work collaboratively with our team of compliance professionals.
- Self-starter who can follow instruction and complete tasks in a timely manner, seeking additional clarification and guidance as needed.
- Ability to work proactively to identify tasks and projects that are needed to provide a high level of service and take the initiative and responsibility for completing such tasks without being specifically instructed.
- Financial and accounting experience is a plus.

## Compensation and Benefits

- Competitive pay (commensurate with candidate's education and experience)
- 401(k)
- Paid time off
- Health Insurance
- Dental Insurance
- Vision Insurance
- Training Opportunities
- Growth Opportunities

## Schedule and Work Environment

- 8:30am – 5:30pm
- Monday to Friday
- Professional office setting
- Some periodic travel required