

## Job Description: Compliance Associate

Location: Dallas, TX

### Company Description

CORE-CCO Services, LLC (*Core*) is comprised of a team of former SEC regulators, seasoned private fund experts, certified AML/KYC specialists, IT-proficient staff, and professional compliance consultants. We serve as an extension of our clients' in-house compliance team to provide the regulatory and compliance expertise firms need and that institutional LPs and regulators expect. We assign a dedicated team that works proactively with each client, getting to know and understand their business to design, implement, and administer an effective compliance solution. We provide proactive high-touch compliance expertise and services to leading and emerging private fund managers. Our clients include private equity funds, real-asset funds, hedge funds, venture capital funds, real estate funds, oil and gas funds, other alternative investment funds, and select family offices and private wealth managers. *Core* is a subsidiary of Standish Management, a leading global private fund administrator.

### Opportunity

The Compliance Associate will work as an integral part of client teams together with Senior Compliance Officers, Compliance Officers and Analysts to deliver exceptional compliance services. The Compliance Associate will have the unique opportunity to learn the financial services industry and SEC compliance practices from veteran SEC and industry experts, mid-level seasoned compliance professionals and dedicated junior team members in an inviting and rewarding atmosphere. *Core* is a fast-paced, high-energy firm where the Compliance Associate will have opportunities to grow and advance within the firm as his/her knowledge, skills, experience, and enthusiasm permit.

The Compliance Associate will be called upon to study and understand new regulatory developments, assist with the development of compliance tracking tools, and participate in client development activities. The Compliance Associate will work closely with senior management and other compliance professionals within *Core* to expand his/her knowledge and expertise of the private fund industry and investment adviser regulatory and compliance requirements.

### Position Summary

The Compliance Associate candidate must:

- Serve as part of *Core* client service teams and work together with others to help organize and deliver exceptional compliance services.
- Work closely with the *Core* team to learn the private fund industry, clients' businesses, and compliance program, as well as regulatory and compliance requirements.
- Maintain compliance calendars, update checklists, organize, track, and review firm and employee compliance reporting, and monitor firms' compliance with policies, procedures, and regulations.
- Assist in preparing and reviewing regulatory filings.
- Operationalize projects, such as firm migration onto new compliance reporting systems.
- Assist *Core* clients in complying with ALM, KYC, and OFAC regulatory requirements.

### Training & Development Resources

*Core* Compliance Associates will have at their disposal a full suite of resources and tools to ensure current and comprehensive knowledge of private funds, legal and regulatory requirements, and *Core* compliance and client service processes, and other critical skills. *Core*'s comprehensive resources include personalized and collaborative training and development with highly experienced former regulators and private fund compliance experts and *Core* colleagues on 1) private funds structures and operations; 2)

SEC regulation, rulemaking developments, examinations and enforcement; 3) SEC regulatory and filing requirements for investment advisers and private funds; 4) adjacent and supplemental regulatory requirements; 5) new developments and topics in regulation and compliance; and 6) critical professional skills. In addition, **Core** Compliance Officers have access to a full library and toolbox of compliance modules, document templates, operating policies and procedures, internal and client facing training materials, and instructional resources.

### Qualifications Required

- Bachelor's degree mandatory.
- Interest in the investment management and private fund industry, regulatory and compliance environment, and accounting principles.
- Excellent communication skills, a proactive diligent work ethic, and the ability and desire to work collaboratively in a team environment.
- Proficiency in Microsoft applications including Outlook, Word, Excel, and PowerPoint, with aptitude to learn new software and systems as needed.
- Ability to work in a fast-paced environment, supporting multiple team members and client service teams, utilizing effective time/task management to meet strict deadlines.
- Ability to handle confidential information and work with limited supervision.
- Strong organizational skills and attention to detail
- Ability to develop and maintain Excel spreadsheets and manage, organize, and analyze data and information.
- Ability to 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 needed to provide a high level of service.
- Ability to take initiative and responsibility for completing tasks without being instructed.
- Ability to quickly shift from one client to another and stay organized and focused.

### Compensation and Benefits

- Competitive pay (commensurate with candidate's education and experience)
- 401(k) retirement plan with employer matching
- Paid time off
- Health / Dental / Vision Insurance
- Other insurance options, tax-preferred programs and employee benefits
- Generous paid time off

### Schedule and Work Environment

- 8:30 am – 5:30 pm Monday to Friday
- Professional in-office setting
- Minimal travel required
- Comprehensive internal training program for ongoing professional development